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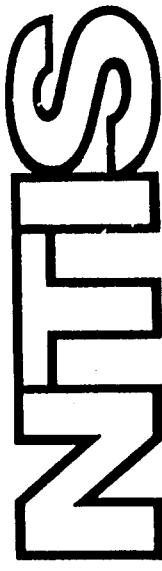
PREPARATION AND OPTICAL PROPERTIES OF CRYSTALS AND  
FILMS OF VANADIUM OXIDES

John C. C. Fan

Harvard University  
Cambridge, Massachusetts

May 1972

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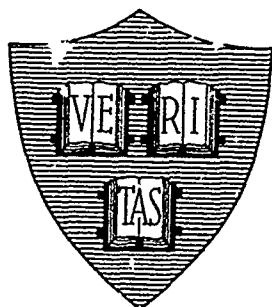
AD74431C

Office of Naval Research

Contract N00014-67-A-0298-0012 NR-017-308

ARPA Contract DAHC-15-67-C-0219

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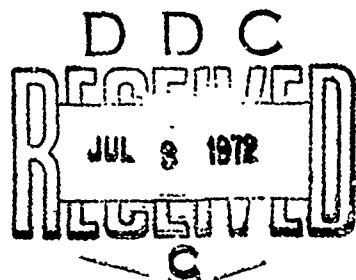
By

John C.C. Far

May 1972

Technical Report No. HP-28

Technical Report No. ARPA-43



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Division of Engineering and Applied Physics  
Harvard University - Cambridge, Massachusetts

## Unclassified

Security Classification

## DOCUMENT CONTROL DATA - R &amp; D

(Security classification of title, body of abstract and indexing annotation must be entered when the overall report is classified)

1. ORIGINATING ACTIVITY (Corporate author) Division of Engineering and Applied Physics Harvard University Cambridge, Massachusetts	2a. REPORT SECURITY CLASSIFICATION  2b. GROUP
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## 3. REPORT TITLE

## PREPARATION AND OPTICAL PROPERTIES OF CRYSTALS AND FILMS OF VANADIUM OXIDES

## 4. DESCRIPTIVE NOTES (Type of report and, inclusive dates)

Interim technical report

## 5. AUTHOR(S) (First name, middle initial, last name)

John C. C. Fan

6. REPORT DATE May 1972	7a. TOTAL NO. OF PAGES 303	7b. NO. OF REFS 221
8a. CONTRACT OR GRANT NO. N00014-67-A-0298-0012 and ARPA	9a. ORIGINATOR'S REPORT NUMBER(s) Technical Report No. HP-28 Technical Report No. ARPA-43	
b. PROJECT NO. DAHC 15-67-C-0219	9b. OTHER REPORT NO(S) (Any other numbers that may be assigned this report)	
c.		
d.		

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11. SUPPLEMENTARY NOTES	12. SPONSORING MILITARY ACTIVITY Office of Naval Research
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## 13. ABSTRACT

This manuscript describes mainly the preparation and optical properties of crystals and films of some of the vanadium oxides. In addition, different methods of determining the optical constants of solids are discussed and compared.

The complex vanadium-oxygen system contains several oxides which exhibit first order insulator-metal phase transition as a function of temperature. There are different models that have been suggested to explain the nature of these transitions. In practice, it is often difficult to choose an appropriate model or models to explain the mechanism of each of the phase transitions. In our work, we concentrated on the  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $\text{V}_2\text{O}_3\text{-Cr}_2\text{O}_3$  systems, which exhibit many features of the phase transitions.

Single crystals of  $\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)\text{O}_3$  were grown by the tri-arc Czochralski technique. Using a vapor transport technique, we also prepared single crystals of  $\text{V}_2\text{O}_3$  and films of  $\text{V}_2\text{O}_3$  and  $\text{VO}_2$ . Sputtered  $\text{V}_2\text{O}_3$  films, as grown, were found to exhibit no phase transition around 150° K. Upon annealing, the phase transition occurred, suggesting that if there was no change in chemical composition on annealing, critical grain sizes might be necessary for the phase transition to propagate.

Optical reflectivity measurements were made on single crystals of  $\text{V}_2\text{O}_3$ . The optical properties of  $\text{V}_2\text{O}_3$  exhibited a free electron absorption in its metallic state, which was replaced by an optical absorption edge in its low temperature insulating state. The optical constants of  $\text{V}_2\text{O}_3$  were evaluated from the reflectivity spectra by using both the Kramers-Kronig analysis and the oscillator fit technique.

Similarly, the optical constants of  $\text{VO}_2$ , both in its insulating state and metallic state were evaluated. In addition, the optical constants of a single crystal of  $(\text{V}_{0.982}\text{Cr}_{0.018})\text{O}_3$  at room temperature were reported. At room temperature, the optical properties of  $(\text{V}_{0.182}\text{Cr}_{0.18})\text{O}_3$  and  $\text{V}_2\text{O}_3$  were found to be similar, indicating that at room temperature, the band structures of these two materials might not be too different.

The structural and electrical characteristics of our films of  $\text{V}_2\text{O}_3$  and  $\text{VO}_2$  indicated that the films were of poorer quality than the single crystals. Optical measurements on the films, though complementing our optical reflectivity measurements on the single crystals, were not used to evaluate the optical constants of these materials. The optical transmission measurements on these films did, however, confirm the existence of absorption edges in  $\text{V}_2\text{O}_3$  and  $\text{VO}_2$  in their low temperature insulating states.

From the optical data, order of magnitude values of optical effective mass and optical mobility were obtained for the conduction electrons in the metallic states of both  $\text{V}_2\text{O}_3$  and  $\text{VO}_2$ . Our optical data were, however, not capable of indicating which mechanism or mechanism were responsible for the phase transition in these materials. The optical properties were not unusual, and could be explained in terms of a one-electron band model. The mean free paths of the conduction electrons were, however, short and thus electron correlation and/or electron phonon interaction were probably present.

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During our investigation, different methods of determining optical constants were discussed. We found that the angular dependence measurements, though often limited to a few wavelengths, offered direct and accurate measurements of  $n$  and  $k$ . The Kramers-Kronig analysis is subject to extrapolation uncertainties, and the oscillator fit technique to fitting uncertainties. By constraining at some wavelengths, the optical constants calculated from either the Kramers-Kronig analysis or the oscillator fit technique to approach those obtained from the angular dependence measurements at the same wavelengths, the above uncertainties can be greatly reduced.

Unclassified

- Security Classification

14. KEY WORDS	LINK A		LINK B		LINK C	
	ROLE	WT	ROLE	WT	ROLE	WT
Transition Metal Oxides Semiconductor-Metal Transitions Preparation of Vanadium Oxides Optical Properties of Vanadium Oxides Mott Transitions						

#### ACKNOWLEDGMENT

The preparation of this report was made possible by the support and cooperation of many colleagues and friends. I would like to mention some of their contributions here. First and foremost, I would like to thank my thesis advisor Professor William Paul for his advice and guidance throughout my research, from choosing the research topic to critically reviewing and helping with this final manuscript.

Professor Paul Raccah, formerly of MIT Lincoln Laboratory and now of Yeshiva University, proved to be of invaluable assistance and guidance in helping with those parts of my research that were conducted at Lincoln Laboratory. I am greatly indebted to him.

For their experienced advice, I am grateful to Doctors Larry Ladd, John Goodenough and, particularly, Tom Reed, who aided me in growing the  $V_2O_3$ - $Cr_2O_3$  crystals. My colleagues at Harvard, Mr. Wesley Akutagawa, who helped in growing vapor transport films and crystals, Mr. William Rosevear and Mr. Nigel Shevchik, are also gratefully acknowledged for their helpful suggestions and cooperation.

Mr. Albert Manning and the late Mr. James Inglis provided expertise in machining, and Mr. David McLeod in sample preparation. Mr. Edward Owens of Lincoln Laboratory was very helpful with the analysis of some of the samples and the discussion of analytical problems connected with this work. Mr. Carl Anderson, also of Lincoln Laboratory helped in setting up some of the optical equipment used there. My sincere thanks to them all.

Office of Naval Research

Contract N00014-67-A-0298-0012

NR - 017 - 308

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The research reported in this document was made possible through support extended the Division of Engineering and Applied Physics, Harvard University, by the Office of Naval Research, under Contract N00014-67-A-0298-0012 and by the Advanced Research Projects Agency under Contract DAHC-15-67-C-0219.

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## CHAPTER I

### INTRODUCTION

Ever since F.J. Morin (1) reported, in 1959, that single crystals of VO,  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $\text{Ti}_2\text{O}_3$  all exhibited sharp changes of electrical conductivity from metallic to semiconducting behavior at certain transition temperatures, intense efforts have been made to understand this class of materials, both experimentally and theoretically. The object of this thesis is to investigate these compounds, especially in the areas of preparation and optical properties.

First, however, a brief survey of the experimental and theoretical studies in this area is necessary to put this investigation into its proper perspective.

#### A. Transition Metal Compounds

The transition metals possess one to nine d electrons on each atom, in addition to the s and p electrons found on the atoms of ordinary metals. In a solid, the d orbitals overlap to form a relatively narrow d band. The next higher s band is usually wide and overlaps the entire d band. Thus, the s band is always partially full and metallic conductivity prevails in all the transition metals.

When compounds of transition metals are formed, their electrical properties vary widely from insulating to metallic behaviour. If we restrict ourselves to oxides and sulphides of the transition metals, many compounds can be classified by their electrical conductivity characteristics into three distinct classes:

(a) Insulators (resistivity of the order of  $10^3 - 10^7 \Omega\text{-cm}$  and decreasing with increasing temperature): NiO (2), CoO (3.9), MnO (4), FeO (5),  $\text{Fe}_2\text{O}_3$  (6),  $\text{Cr}_2\text{O}_3$  (7),  $\text{Mn}_3\text{O}_4$  (4),  $\text{Mn}_2\text{O}_3$  (8),  $\text{Co}_3\text{O}_4$  (8), MnS (10),  $\text{FeS}_2$  (10), and  $\text{MnS}_2$  (10).

(b) Metals (resistivity of the order of  $10^{-2} - 10^{-6} \Omega\text{-cm}$  at room temperature, and linearly increasing with increasing temperature): TiO (11), VO (11),  $\text{CrO}_2$  (12), NbO (13),  $\text{ReO}_2$  (14),  $\text{ReO}_3$  (15), TiS (16),  $\text{CoS}_2$  (10), and  $\text{CuS}_2$  (10).

(c) Materials with insulator-metal transitions:  $\text{V}_2\text{O}_3$  (1, 16),  $\text{VO}_2$  (1, 17),  $\text{V}_6\text{O}_{13}$  (18),  $\text{V}_4\text{O}_7$  (19),  $\text{V}_5\text{O}_9$  (20),  $\text{V}_8\text{O}_{15}$  (21),  $\text{Ti}_2\text{O}_3$  (1),  $\text{Ti}_4\text{O}_7$  (22),  $\text{Ti}_3\text{O}_5$  (22),  $\text{Ti}_5\text{O}_9$  (22),  $\text{Ti}_6\text{O}_{11}$  (22), NbO<sub>2</sub> (23),  $\text{Fe}_3\text{O}_4$  (24), NiS (25), CrS (26), and FeS (27).

Two striking features of these compounds emerge from this classification: (1) failure of the Bloch-Wilson one electron band theory in explaining the electrical conductivities of some of the insulating transition metal compounds, and (2) frequent occurrence of insulator-metal transitions in a large number of materials, especially in the oxides of vanadium and titanium.

In the next section, we will elaborate on these two points as they pertain to some of the transition metal oxides.

#### B. Theoretical Discussion on Transition Metal Oxides

One of the classical examples of the failure of the Bloch-Wilson theory is NiO. In NiO, as well as in many transition metal oxides, the

bonding of  $\text{Ni}^{++}$  cations with  $\text{O}^{- -}$  anions is partially ionic. The  $\text{O}^{- -}$  2p states are the bonding orbitals and form a band  $\sim 6 \text{ eV}$  below the anti-bonding orbitals of  $\text{Ni}^{++}$  4s states (28). The 3d band is generally assumed to be somewhere between the 2p and 4s bands (28). In the ground state, the s band is completely empty and the p band is completely full. Therefore, only the d band is near the Fermi level and should be responsible for both the electrical and magnetic properties of  $\text{NiO}$ .

$\text{NiO}$  has a cubic  $\text{NaCl}$  structure, and the ten-fold degenerate 3d states are split by the crystalline field into a lower six-fold degenerate  $t_{2g}$  band and an upper four-fold degenerate  $e_g$  band. Since  $\text{NiO}$  contains eight 3d electrons per unit cell, the  $e_g$  band should be partially filled and  $\text{NiO}$  should be metallic.  $\text{NiO}$  however, is a good insulator. Since  $\text{NiO}$  is antiferromagnetic below the Néel temperature  $T_N$ , its ground state can be insulating if the antiferromagnetism, which leads to doubling of the primitive cell, actually opens up a gap in the density of states in the  $e_g$  band. At temperatures above  $T_N$ , this band splitting should disappear and  $\text{NiO}$  should be metallic. This, however, is not the case. Thus, the one electron Bloch-Wilson band theory fails to explain the insulating property of  $\text{NiO}$  above  $T_N$ .

In order to modify the Bloch-Wilson band theory, one must understand the assumptions on which the theory is based, namely, the Hartree-Fock hypothesis, which reduces a many-electron problem to the description of a single electron moving in a periodic field. But this hypothesis fails

to treat adequately electron correlations and electron-phonon interactions, which, for reasons outlined below, could be important in transition metal compounds.

The properties of outer electrons in crystals can often be described by either of two theories, one the crystal field theory, and the other the one-electron band theory. Crystal field theory is adequate to describe the properties of the outer electrons in a crystal if the interaction between the neighboring atoms is so weak that each electron is essentially localized near its nucleus. On the other hand, one electron band theory is most appropriate for explaining outer electrons if they are essentially itinerant and are equally likely to be found at any site in the solid. There are, however, outer electrons which are neither sufficiently itinerant nor localized to be adequately described by either of the two above theories. The outer d-electrons in some transition metal compounds fall into this category. The following justification applies, strictly speaking, to the atomic limit only, though quantitatively, it is usually applicable even in crystals.

Outer s and p electronic wave functions usually spread far from their atomic nuclei and their properties are usually adequately described by one electron band theory. The outer 4f electrons, on the other hand, are more localized to their nuclei, and are screened from their neighboring atoms by the  $5s^2$  and  $5p^6$  electrons (28, 29). These electrons are then considered to be localized and their behavior can be described by the crystal field theory. The outer d electrons are, however, generally

intermediate in nature. In many transition metal compounds, such as NiO and MnO, the outer d electrons cannot be described by either of the two theories and the theories have to be modified. Here, we are interested only in modification of the one electron band theory, which then should include consideration of electron correlations and electron-phonon interactions.

Besides the failure of the one electron band theory in explaining the electrical insulating behavior of some transition metal oxides, another striking feature of the transition metal compounds is the frequent occurrence of first order phase transitions.

In 1949, Mott (30) provided an argument which not only showed the limitation of the one electron band theory, but also demonstrated how a first order phase transition could occur. Briefly, suppose we have a crystal made of atoms whose outer shell has only one s electron, and which has only one atom per unit cell. One electron band theory will predict the crystal to be metallic. If, however, the atoms are very far apart, the overlap between the orbitals from the neighboring atoms will be small, and the electronic energy levels will not be too different from the atomic energy levels. Now, if we consider a particular atomic site at which there is already an electron, a second electron of the opposite spin placed at the same site will have to have an additional energy  $U$  since a Coulomb repulsion force will have to be overcome in order to place two electrons at the same site. Thus migration of electrons in this crystal will necessitate an activation energy  $U$ . The electrons are essentially localized

to their respective atomic sites, and we have an insulator; however, as the atoms are brought together, the kinetic energy of the electrons increases as they are confined to their respective atomic sites. Eventually, the energy of the repulsion of two electrons on one atomic site becomes less than the energy required to localize the electrons in their atomic sites. The electronic wave function then spreads out reducing the kinetic energy of the electrons. The electrons become delocalized and metallic conductivity results.

In such a crystal, according to the Mott theory, the interatomic distances are crucial in determining the electrical conductivity. If the interatomic distances in the crystal are so large that its outer s electrons are essentially localized, then the crystal is an insulator, although the one electron band theory predicts that it should be a metal. If the interatomic distances are so small that the outer s electrons are delocalized, the crystal is a metal. If the interatomic distance is in between these two limits, then the properties of the s electrons are not clear. If, say, the crystal has interatomic distances sufficiently large that the outer s electrons are essentially localized, but yet small enough that the application of hydrostatic pressure on this crystal may well reduce the interatomic distances until the outer s electrons become essentially free, then the conductivity of such a crystal will increase under hydrostatic pressure. Such a transition could conceivably be either gradual or sharp. Mott further suggested that when the interatomic distances in the crystal are near the critical value, free electrons and holes may be produced.

If only one free electron and one free hole are present in the crystal, then they would attract each other by a Coulomb interaction:

$$V(r) = \frac{-e^2}{\kappa r}$$

where  $e$  = electron charge,  $\kappa$  = dielectric constant of the crystal and  $r$  = distance between the electron and hole. They form an exciton and therefore are bound. If the exciton concentration increases, for instance with increasing pressure, then the Coulomb interaction will be screened by the electrons and holes associated with the excitons, until, at a certain exciton concentration, the effective Coulomb interaction will be too weak to bind the electrons and holes together, and there will be an abrupt transition from a small number to a large number of free carriers. Such a transition — often referred to as the Mott transition — is then first order. One prediction of the Mott theory is the possible existence of a Mott transition in some solids under pressure, especially in transition metal compounds where the outer  $d$  electrons are in the intermediate region between being localized and itinerant. The transition should appear as a sudden drop in resistivity at a given pressure, whereas a transition due to band overlap should lead to a gradual change in resistivity. In fact, the Mott transition is hard to demonstrate unambiguously, since in practice, where abrupt insulator-metal transitions are found, other phenomena such as magnetic ordering and crystalline distortion, which can also cause first order transitions, are found simultaneously. Many attempts however, have been made to observe such a transition.

NiO had been subjected to a quasi-hydrostatic pressure of 500 kilobars (31) without a resistivity transition occurring. Recently, however, Kawai and Mochizuki (32) did observe a sharp drop in resistivity when NiO was subjected to a very high quasi-hydrostatic pressure. At a pressure larger than 2 megabars (no exact value was reported because the calibration of pressure in this range is difficult), a sharp drop in resistivity of a factor of  $\sim 10^6$  was observed. No conclusion, however, can be drawn as to whether this sharp transition is indeed the Mott transition because the physical properties of NiO, such as the crystal structure, magnetic properties, etc., before and after it undergoes the transition have not been investigated.

McWhan, Rice et al. (33, 34) investigated the  $(V_{1-x}Cr_x)_2O_3$  system and observed a first order insulator to metal transition with a resistivity change as large as a factor of  $10^2$  under hydrostatic pressure. There is no change in crystal symmetry although there is a change in the crystal volume at the transition. They suggested that this transition might be a Mott transition, but the evidence is not conclusive because other mechanisms may be involved. A more detailed discussion of the  $(V_{1-x}Cr_x)_2O_3$  system will be presented in the latter part of this chapter.

$VO_2$ , as will be discussed later, is insulating at room temperature. At  $340^\circ K$ ,  $VO_2$  undergoes a first order insulator-metal transition with a resistivity change as large as a factor of  $10^5$  and becomes a metal. Roach and Balberg argued that if  $VO_2$  had interatomic distances near the critical interatomic distance such that its insulating state was caused by the formation of excitons, as in the Mott theory, then the generation of

free carriers — for example, by a ruby laser — would increase the screening effect on the Coulomb interaction that binds the holes and electrons together. If a certain critical free electron concentration were reached, the Coulomb interaction would no longer be able to bind the holes and electrons together, and the Mott transition would occur. They were, indeed, able to switch the films from an insulating state into a metallic state. In practice, however, the ruby laser used not only generates free carriers in  $\text{VO}_2$  films, but also heats up the films during the process. They are, therefore, unable to distinguish whether the observed insulator-metal transition is a Mott transition, or is caused by thermally heating the  $\text{VO}_2$  films through the transition temperature at  $340^\circ\text{K}$ .

The investigations cited above fail to demonstrate unambiguously the existence of the Mott transition. As we have discussed earlier, the main difficulty is finding a material whose insulator-metal transition property can be explained only by the Mott theory, and wherein no other mechanisms which can cause a first order phase transition, such as crystalline distortion, are present. Detailed analyses of other such mechanisms can be found in Adler's review paper (36) and Goodenough's summer lecture in Poland (37).

Here, we will discuss only some of the more important models, namely the Adler-Brooks crystalline distortion model, the homopolar bond model, and the Hubbard model, and will briefly mention some of the effects of electron-phonon interactions on the insulator-metal transition.

Only a qualitative discussion of the Adler-Brooks crystalline distortion model will be presented here since detailed quantitative analysis has been put forth by Adler and Brooks (38). This model makes use of the fact that in the narrow band limit, a metallic state can be unstable at  $T = 0^{\circ}\text{K}$  and a crystalline distortion towards a lower symmetry can be favored. This arises because, for any metal, a crystalline distortion can always be envisioned which will reduce the electronic energy of just the number of states that are filled, but will raise the energy of just those states that are empty. Such a distortion always minimizes the electronic energy of the system. An insulating state will result if a real energy gap in the density of states is produced. This is more likely if the energy bands are narrow. This distortion, however, will not occur unless the free energy of the insulating state is lower than that of the metallic state. Since at  $T = 0^{\circ}\text{K}$ , there are no entropy contributions to the free energy, we have only to consider the total energy of the system in both states. The distortion will occur if the decrease in the electronic energy outweighs the increase in the strain energy caused by the crystalline distortion. This, again, has been shown to be the case only if the energy bands are narrow (38). As the temperature of such a narrow band insulating material is increased from  $0^{\circ}\text{K}$ , electrons are excited thermally across the energy gap into the conduction band. The thermal excitation of carriers will increase the electronic energy of the insulating state. In addition, as the temperature is increased, the entropy contribution to the free energy also becomes important. Since the

electronic entropy of the metallic state is usually greater than that of the insulating state, as the temperature increases, the free energy of the insulating state becomes closer to that of the metallic state, until at a certain critical temperature, the free energy of the metallic state becomes lower than that of the insulating state, and a first order insulator to metal transition occurs.

The Adler-Brooks theory has an important drawback in that it neglects electron correlation effects and electron-phonon interaction in its hypothesis. In fact, it assumes that one electron band theory is still appropriate. However, if we have a narrow band material, so that we can try to apply the Adler-Brooks theory, we should also take into account electron correlation effects and the electron-phonon interaction.

If the electron-phonon interaction in a crystal is sufficiently large, an electron can polarize and, thereby distort, the lattice in its neighborhood. The polarization, in turn, acts on the electron and lowers its energy. As the electron moves through the crystal, it takes along the distortion of the lattice. The electron together with the accompanying self-consistent polarization field can be thought of as a quasi-particle, and is usually called a polaron. Its effective mass is larger than that of the Bloch electron. Polaron effects might thus explain the low conductivity of some of the transition metal oxides.

Within the limits of small polaron theory (small polarons occur if the dimension of the polaron, that is, of the electronic wave function and the self-consistent polarization field, is smaller than the lattice constant),

Holstein (39) reported that at low temperatures, polaron conductivity was due to polaron bands, and conductivity was low. Above a critical temperature (approximately at half of the Debye temperature), conduction took place by means of thermally activated polaron hopping of very low mobility. Therefore, we have a transition from a state with low conductivity to a state with even lower conductivity as temperature increases, and this is the reverse of what we observe in many transition metal oxides and sulphides except in the  $(V_{1-x}Cr_x)_2O_3$  system. Accordingly, polaron effects are generally not applicable in explaining the insulator-metal transition. This is not, however, to imply that the electron-phonon interaction is not important, as its effect may be present in other forms.

Berglund and Guggenheim (40) calculated that the latent heat of  $VO_2$  at the phase transition could not be accounted for by the change in the electronic entropy at the phase transition alone. They then suggested that most of the latent heat should be supplied by the lattice. Ladd (41) suggested that the latent heat could be supplied by lattice-vibrational mode-softening in the metallic state in  $VO_2$ .

Paul (42) and Hearn (43) suggest that since the 3d electrons in transition metal compounds, and particularly in  $VO_2$  are intermediate in character between localized and itinerant electrons, they can be easily excited by changing the temperature or stress into higher energy states. They are, however, still sufficiently localized that these excitations may produce considerable local charge fluctuation. If the distribution of

d-electron charges near the vanadium ions is such that the lattice phonon spectrum is critically dependent on it, this local charge fluctuation may induce a strong electron-phonon interaction and lead to the softening of the phonon spectrum in the metallic phase where, by second order perturbation theory, the effect of the electron-phonon interaction is greater than in the insulating state because of the larger number of degenerate states at the Fermi level. The softening of phonon modes in the metallic state decreases its lattice free energy and eventually the total free energy becomes lower for the metallic phase than for the insulating phase, causing the insulator-metal transition.

Hearn did a one dimensional calculation for atoms along the c-axis in  $\text{VO}_2$ , using this idea, and obtained reasonable quantitative agreement with known experimental data. Mattis and Langer (44) obtained some quantitative results of the effects of phonons and band structure on the metal-insulator transition. Depending on the electron-phonon coupling coefficients and the band structures of the materials, either first order or second order phase transitions may occur. Insulator-metal transitions, therefore, should depend strongly on the crystal structures of the solids if they are driven by electron-phonon interactions. In contrast, the crystal structures may not be important in the Mott transition. The interatomic distances and the nature of valence electrons in the solid determine the possible existence of the Mott transition. In fact, in a solid, if the interatomic distances are in the critical region where the electrons can either be itinerant or localized, the Mott transition may be possible even in amorphous materials.

In 1960, Goodenough (45) suggested the possibility that for some transition metal ion arrangements, it might be favorable for some of the d orbitals of the cations to form covalent-bonded molecular orbitals, where electrons are localized. These molecular orbitals, often referred to as homopolar bonds, may be formed at a certain critical temperature. At temperatures above this critical temperature, these homopolar bonds break apart, and the electrons become delocalized (28), leading to an insulator-metal transition.

As Mott has pointed out, electron correlation can play an important role in the properties of some transition metal compounds. Hubbard in a series of papers (46, 47, 48, 49) incorporated correlation effects into band theory by introducing the Hamiltonian

$$H = \sum_{k, \sigma} \{(\mathbf{k}) n_{k, \sigma} + U \sum_i n_{i\uparrow} n_{i\downarrow} - (\frac{N}{Z}) n^2 U$$

where  $\{(\mathbf{k})$  are the Bloch energies.

$n_{k, \sigma}$  are the number operators for the Bloch states,

$n_{i, \sigma}$  are the number operators for the Wannier states centered at the lattice site  $\bar{R}_i$

$\sigma$  represents spin

$U$  is the intra-atomic Coulomb repulsion,

$n$  is the number of electrons per atom,

$N$  is the number of atoms in the crystal.

The first term in the Hamiltonian is the normal Hartree-Fock term, and the second term represents the correlation effects between

two electrons of opposite spin in the same atomic site. These correlation effects were included by an important approximation where only the intra-atomic Coulomb interaction was considered.

Hubbard applied this Hamiltonian to a half-filled s band and obtained some quantitative results. In the atomic limit, that is, when the bandwidth is zero, the above Hamiltonian can be solved exactly by means of retarded and advanced Green's function (46). The s band is found to be split into two subbands, separated by an energy gap  $U$  at  $T = 0$ . In this case, the lower band is completely filled and the upper band is empty at  $T = 0^{\circ}\text{K}$ . As the ratio of the bandwidth  $\Delta$  to  $U$  is increased, the energy gap decreases until it disappears at  $\frac{\Delta}{U} = \frac{2}{\sqrt{3}}$  (see Fig. I-1). Since the gap decreases slowly to zero, we have only a gradual change in conductivity. A sudden first order transition cannot be predicted by the Hubbard model. However, this does not imply that the electron correlation effects cannot give rise to a first order phase transition. If we include long range Coulomb interactions, a first order insulator-metal transition might be possible. A theoretical approach to this problem is difficult and so far no solution has been presented.

Other models have also been offered which exhibit a gradual change (such as the band overlap model (50)) and sharp change (such as antiferromagnetism (51)) in the electrical conductivity.

As we have discussed before, it is usually difficult to choose the appropriate model or models to explain the mechanisms of the phase

transitions in many transition metal oxides. Many experimental observations are still incomplete, and in some compounds, more than one mechanism seems to be operating. In the next section we shall present some experimental results on the  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$ ,  $\text{V}_2\text{O}_3\text{-Cr}_2\text{O}_3$  systems, which exhibit many features of the models mentioned above.

### C. Experimental Results on Some Transition Metal Oxides

#### 1. $\text{VO}_2$

For  $T > T_t = 340^\circ\text{K}$ ,  $\text{VO}_2$  has a structure which is a minor modification of that of rutile. There are two vanadium ions in each unit cell, and the vanadium ions, after having given electrons to satisfy the bonding requirement of the oxygen ions, have one valence electron per ion remaining in the vanadium d bands. For  $T < 340^\circ\text{K}$ ,  $\text{VO}_2$  undergoes a crystalline distortion into a monoclinic symmetry, and has its unit cell doubled. Figures I-2 and I-3 show the crystal structures above and below  $T_t$ , and the relationship between the two states.

The electrical conductivity has been measured by many investigators (1, 17, 40, 53, 54, 55), all of whom observed a sharp insulator-metal transition at  $\sim 340^\circ\text{K}$ , with a conductivity discontinuity of a factor as large as  $10^5$ . If one defines activation energy  $E_a$  by the following equation,

$$\sigma = \sigma_0 \exp(-E_a/kT)$$

where  $\sigma$  = conductivity at a temperature  $T$

$k$  = Boltzmann's constant

$T$  = Temperature in  $^\circ\text{K}$

$\sigma_0$  = conductivity at  $\frac{1}{T} = 0(1/\text{K})$ .

then in the insulating state,  $E_a$  is not constant as in most semiconductors, but varies slightly with temperature (17).

Hall measurements have been reported by several workers (56, 57, 58, 59) on ceramic samples, films and single crystals, the most recent of which were done on single crystals at Harvard by Rosevear and Paul (60). Their results showed a Hall mobility of  $\sim 0.5 \text{ cm}^2/\text{V sec}$  at  $T < T_t$ , and  $\sim 0.4 \text{ cm}^2/\text{V sec}$  at  $T > T_t$  with weak temperature dependence in both phases.

Magnetic susceptibility measurements, nuclear magnetic resonance measurements, and the Mössbauer effect have revealed a small temperature-independent susceptibility of  $\sim 10^{-6}$  emu/g at  $T < T_t$  (40). At  $T_t$ , the susceptibility jumps by a factor of approximately 8, and remains temperature-independent for  $T > T_t$  (40). There is no evidence of any long-range magnetic ordering.

Optical measurements have been performed on single crystals of  $\text{VO}_2$  in several laboratories (17, 58, 61, 62). All have found that the reflectivity spectrum at  $T > T_t$  manifests a free electron absorption region with a reflectivity minimum at  $\sim 1.5 \text{ eV}$ . At  $T < T_t$ , the free electron absorption disappears, and an absorption edge appears at  $\sim 0.7 \text{ eV}$ . Ladd and Paul (17) determined the temperature dependence of the absorption edge by optical transmission measurements on thin single crystals. The absorption edge shifts from  $0.74 \text{ eV}$  at  $100^\circ\text{K}$  to  $0.61 \text{ eV}$  at a temperature just below  $T_t$ . The size of the change of absorption edge is not inconsistent with that of the change of absorption edge in ordinary semiconductors with high Debye temperatures.

From optical reflectivity data (61), the possible bandwidths for  $\text{VO}_2$  are  $\sim 1 \text{ eV}$  wide. Photoemission measurements (63) also suggest that the 3d band is not very narrow and an energy gap in excess of 0.6 eV exists at the semiconducting state.

Although many experimental and theoretical efforts have been concentrated on  $\text{VO}_2$ , the mechanisms or mechanisms that provide the driving force for this transition are still uncertain. It is definitely not due to antiferromagnetism as no long-range magnetic ordering has ever been detected. Goodenough (28) suggested that at  $T < T_t$ , the single d electron associated with each  $\text{V}^{4+}$  ion forms a homopolar bond with the one associated with its nearest neighbor. This cation-cation interaction, together with an antiferroelectric distortion (caused by the tilting of the c-axis cation pairs forming more stable cation-anion bonds) permits the opening of a finite energy gap. If the Fermi energy is in the energy gap,  $\text{VO}_2$  would become insulating. Above the transition temperature, these bonds break, causing the energy gap to disappear, and  $\text{VO}_2$  to become metallic.

As mentioned earlier, in 1970, Paul (42) and Ladd (41) suggested that the insulator-metal transition in  $\text{VO}_2$  might be due to phonon mode-softening as temperature increased above  $T_t$ . Paul (42) and Hearn (43) further proposed such phonon mode-softening in the metallic state could be caused by the strong electron-phonon interaction in the crystal. Theoretical calculations incorporating the electron-phonon interactions were made by Hearn (43) and Mattis and Langer (44) and their results tended to favor this hypothesis. Experimentally, Raman scattering on  $\text{VO}_2$  crystals was

performed by Chase and Srivastava (64) which suggested strong electron phonon coupling at  $T > T_t$ . They also suggested a possible optical phonon mode softening at  $T > T_t$ . Their experiment was, however, not entirely conclusive, and more definitive experiments in this area have yet to be done.

## 2. $V_2O_3$

At room temperature,  $V_2O_3$  has the corundum structure, which has a slightly distorted hexagonal lattice. Below  $\sim 150^{\circ}\text{K}$ , there is a first order phase transition to monoclinic symmetry. The relationship of the monoclinic unit cell to the hexagonal cell is shown in Fig. I-4. The volume of the crystal increases about 3.5% through the transition to the low-temperature phase (65). Therefore, the Clausius-Clapeyron equation implies that hydrostatic pressure will reduce the transition temperature  $T_t$ .

Feinleib and Paul found

$$\left( \frac{dT_t}{dp} \right) = -(3.78 \pm 0.15) \times 10^{-30} \text{ K/bar}$$

under hydrostatic pressure (16), while McWhan and Rice managed to suppress the low temperature phase entirely for hydrostatic pressure greater than 26 kbar (66).

Electrical measurements have also been made (1, 16, 67). At low temperatures, the conductivity increased exponentially with increasing temperature with an activation energy of approximately 0.15 eV. At  $\sim 150^{\circ}\text{K}$ , the conductivity jumped by a factor of  $10^7$ . Above  $150^{\circ}\text{K}$ , the conductivity decreased linearly with temperature. A second anomaly

occurred near  $550^{\circ}\text{K}$  where the conductivity decreased by a factor of 2 over a  $100^{\circ}$  range (16).

Specific-heat data (68, 69) showed a first order phase transition near  $150^{\circ}\text{K}$  on cooling,  $168^{\circ}\text{K}$  on heating and a higher order phase change in the interval between  $383^{\circ}\text{K}$  and  $533^{\circ}\text{K}$ .

Magnetic susceptibility measurements (70) revealed an anomaly near  $150^{\circ}\text{K}$  where the susceptibility dropped by a factor of  $\sim 2$  when  $\text{V}_2\text{O}_3$  went from the metallic state to the antiferromagnetic insulator state. There was also another anomaly near  $380^{\circ}\text{K} < T < 550^{\circ}\text{K}$  where the susceptibility vs temperature curve exhibited a shallow maximum. Mossbauer results (71) showed that  $\text{V}_2\text{O}_3$  becomes antiferromagnetic below  $150^{\circ}\text{K}$ . This was confirmed by Moon using the neutron diffraction technique; he found an ordered magnetic moment of  $1.2 \mu_B$  per vanadium atom (72).

An optical transmission measurement was done on a thin single crystal ( $\sim 25$  microns thick) of  $\text{V}_2\text{O}_3$  by Feinleib and Paul (16). No transmission was observed in the metallic state between 0.1 and 6 eV. In the insulating state, transmission was observed between 0.1 and 0.4 eV. At 0.4 eV, the transmission was less than 0.1%, and increased gradually to about 10% at about 0.2 eV. Since there is no sharp rise in transmission as in Ge and Si, it is difficult to decide an exact value for the energy gap.

Optical reflectivity at room temperature has been reported by Barker et al. (73) from 0.04 eV to 3 eV, and by Feinleib (74) from photon energy close to 0.0 eV to about 6 eV. All have found that the reflectivity

spectra show a free electron absorption region with a reflectivity minimum at  $\sim 3.0$  eV.

Hall effect data on single crystals were taken in the metallic state (75), showing that the charge carriers were holes with a concentration of  $\sim 4 \times 10^{22}/\text{cm}^3$ . The Hall mobility varied from 0.55 at  $200^\circ\text{K}$  to  $0.40 \text{ cm}^2/\text{V sec}$  at  $300^\circ\text{K}$ . Since the crystals cracked when going through the transition, no Hall data were obtained in the insulating state.

Hall effect measurements were also done on single crystals of  $\text{V}_2\text{O}_3$  by Rosevear and Paul (60), and they obtained a Hall mobility of  $\sim 0.9 \text{ cm}^2/\text{V sec}$  with a hole concentration of  $\sim 1.5 \times 10^{22}/\text{cm}^3/\text{V sec}$  in the metallic state.

Austin and Turner (76), likewise, reported a Hall mobility of  $\sim 0.6 \text{ cm}^2/\text{V sec}$  in the metallic state of single crystals of  $\text{V}_2\text{O}_3$ . However, they interpreted the charge carriers as electrons with a concentration of  $\sim 3 \times 10^{22}/\text{cm}^3$ . In the insulating state, no Hall signal was detected. They, then, inferred the Hall mobility should be less than  $3 \times 10^{-4} \text{ cm}^2/\text{V sec}$  in the insulating state.

Adler-Brooks crystalline distortion theory has been applied to  $\text{V}_2\text{O}_3$  (77). Using a transition temperature of  $150^\circ\text{K}$  and a semiconducting gap of 0.1 eV, their model predicted a first order insulator-metal transition. The model also predicted that

$$\frac{d \ln T_0}{dx} = \frac{d \ln E_{g0}}{dx}$$

where  $T_0$  = the transition temperature in  $^\circ\text{K}$ ,  $E_{g0}$  = energy gap at  $T = 0^\circ\text{K}$ ,  $x$  = either hydrostatic pressure or stress. The above relationship was

verified to within experimental error by Feinleib and Paul (16) by their measurements of the variation of the activation energy in the insulating state and of the transition temperature with hydrostatic pressure and with uniaxial stress in  $V_2O_3$ . However, the jump in carrier density predicted by the theory was only about two orders of magnitude, much less than the  $10^7$  discontinuity in the conductivity. The remaining factor of  $10^5$  was therefore supposed to be caused by the very much increased mobility in the metallic state resulting from the increased screening. The Austin and Turner Hall measurement, if reliable, could indeed denote a large change of mobility at  $T_t$ . Another point which should be mentioned is that the assumed semiconducting gap of 0.1 eV may also be on the low side, judging from the optical transmission spectrum reported by Feinleib and Paul (16).

In 1963, Goodenough (8) suggested that in the low temperature monoclinic phase, the atoms in the basal plane moved together to form homopolar bonds, leading to its insulating properties. At  $T > T_t$ , when the atoms in the basal plane moved apart, the homopolar bonds broke up, and metallic conductivity resulted. Recent x-ray measurements (34) showed that the atoms in the basal plane actually moved together as the temperature increased through  $T_t$ . Goodenough revised his hypothesis and proposed that in  $V_2O_3$  the interaction between the neighboring cations in the basal plane was critical so that the 3d electrons could be either described as itinerant or localized depending on the interatomic distance between the neighboring cations in the basal plane. In

the metallic phase, the interatomic distance between the cations was close enough so that the 3d electrons were essentially itinerant. At  $T > T_t$ , the cations in the basal plane moved apart, and the interatomic distance between neighboring cations was then large enough so that the d electrons became localized.

Goodenough suggested a possible energy band picture for  $V_2O_3$  both in the insulating and metallic phases using this idea of critical cation-cation interaction with due consideration for both symmetry changes and ionicity of the crystal. A detailed discussion of his model can be found in his paper (78).

### 3. $(V_{1-x}Cr_x)_2O_3$

In 1969, McWhan, Rice and Remeika (33) reported the existence of a first order insulator-metal transition, with a change in crystal volume but without any change in crystal symmetry in the  $(V_{1-x}Cr_x)_2O_3$  system. They were able to induce this transition by varying temperature, pressure and chromium concentration. They then suggested that the transition had all the qualitative features of a Mott transition, and that it was difficult to explain the transition on other grounds. Since then, many papers have been published on this system (34, 79, 80, 81, 82, 83). Figure I-5 shows a phase diagram of the system as a function of chromium concentration and pressure. There are three different phases present: a low temperature antiferromagnetic insulating phase, and two high temperature phases. The high temperature phases are separated into a paramagnetic insulating

phase and a paramagnetic metallic phase that differ in resistivities by a factor of about  $10^3$ . They have the same corundum crystal structure, but with different lattice constants. The antiferromagnetic insulating phase has monoclinic symmetry.

McWhan et al. found that the high temperature first order phase transition changed into a higher order transition for  $x < 0.005$   $(V_{1-x}Cr_x)_2O_3$ , from x-ray, magnetic susceptibility, and electrical measurements (33, 79, 80). For  $x$  approximately between 0.005 and 0.016, there was a first order phase transition from a paramagnetic metallic phase into a paramagnetic insulating phase at atmospheric pressure with increasing temperature. In addition, when  $\sim 10$  kilobar of hydrostatic pressure was applied to a  $(V_{0.96}Cr_{0.04})_2O_3$  sample at room temperature, an abrupt decrease of the resistivity of a factor of  $\sim 10^2$  was observed (33). There was no long-range magnetic order in either phase. In addition, magnetic susceptibility measurements as a function of temperature (80) showed anomalies in the samples where  $x$  is approximately between .005 and 0.016. These anomalies, which usually appeared as a shallow maximum in the temperature range near the high temperature transition, were interpreted as being caused by a possible onset of electron correlation as the crystals went from the paramagnetic metallic phase into the paramagnetic insulating phase (80). Optical reflectivity measurements as a function of temperature were done on one  $(V_{.988}Cr_{.012})_2O_3$  sample and no sharp optical reflectivity change was observed between the two phases. Instead, the reflectivity of the sample at  $8\mu$  wavelength was found to increase slightly over a broad

temperature interval where the insulator to metal transition was to take place. X-ray measurement (34) distinctly showed an abrupt change of volume at the phase transition. Between  $0.005 < x < 0.016$ , in  $(V_{1-x}Cr_x)_2O_3$ , x-ray measurements also indicated that both the metallic and insulating phases coexisted at room temperature and atmospheric pressure. Rubinstein (83) made nuclear magnetic resonance measurements on sintered samples of  $(V_{1-x}Cr_x)_2O_3$  and confirmed the phase diagram and the coexistence of both insulating and metallic phases for the appropriate chromium concentration. The interpretation that this transition is of the nature of a Mott transition is, however, not conclusive, although it does possess some features of a Mott transition, viz., it can be induced by pressure and the electrons in the paramagnetic insulating state may be highly correlated. Experimental evidence is not definitive, and theoretically, there are still no quantitative results to demonstrate that a Mott transition can be a first order phase transition.

Some other mechanisms may well give rise to a transition with similar characteristics, or other mechanisms may be present together with the mechanism that causes the Mott transition. Nonetheless, the discovery is of great interest, since, if the transition is a Mott transition, then it may be induced by lasers in the same manner as we have discussed for  $VO_2$ . Changes in the electrical conductivity in a Mott transition induced by this method could very well occur in a much shorter time than conductivity changes in phase transitions that are induced by thermal heating. Faster electrical conductivity switching times could have wide device applicability.

#### D. Research Objectives

Although the experimental and theoretical studies on the transition metal oxides that exhibit insulator-metal transition have been extensive, we feel some of the measurements on these materials are either incomplete or not very conclusive. In addition, the preparation of these materials has been difficult, and often not very satisfactory. Our research objectives, therefore, were focused on the preparation of thin films and single crystals of these materials by various means. From our experience, we then attempted to draw a few conclusions about some of the features and difficulties of the various methods of film and crystal growth. We concentrated only on three systems,  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$ , and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$ , as their transition mechanisms are probably characteristic of the various models that have been proposed.

Besides some structural analysis and electrical measurements on these films and crystals, our measurements were mainly optical transmission and reflectivity. From these measurements, we obtained some optical constants for these materials in their metallic and insulating states by both Kramers-Kronig analysis and the oscillator fit method, which are presently the two frequently used methods of deriving optical constants from reflectivity spectra. Advantages and disadvantages of these two approaches were examined.

The  $\text{V}_2\text{O}_3$ - $\text{Cr}_2\text{O}_3$  alloy systems were investigated with emphasis on the transition between the paramagnetic metallic state and the paramagnetic insulating state, and especially on the optical reflectivity changes between these two states.

From the optical constants, we were able to obtain some understanding of the band structures of these materials, if indeed it is appropriate to describe them by a band approach. In the process of our research, we increased our knowledge of some of the properties of the various phases on both sides of the insulator-metal transition in these materials, and hence of the mechanisms responsible for these transitions.

CHAPTER I  
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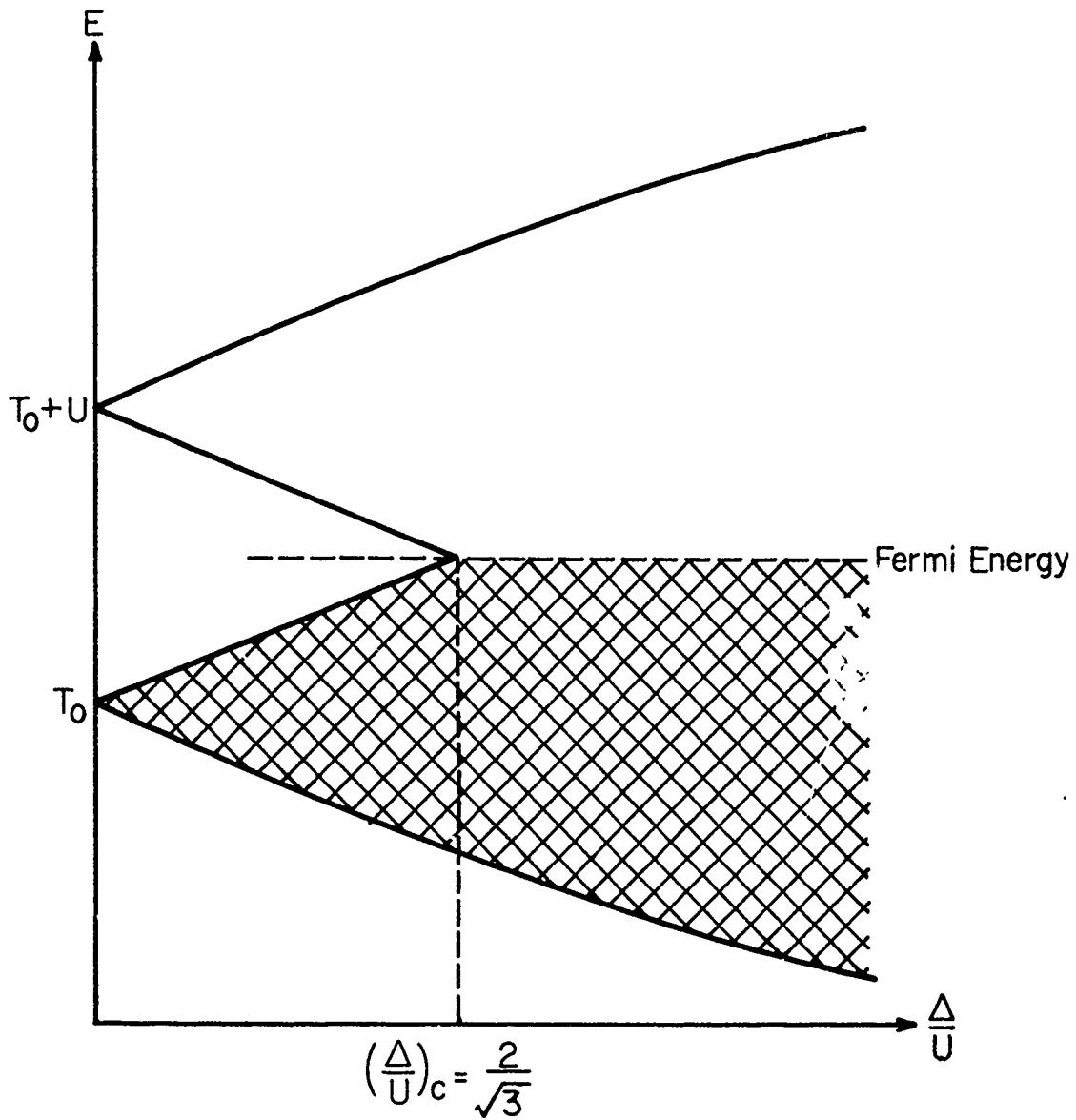


FIGURE I-1 Pseudoparticle band structure as a function of the ratio of bandwidth to intra-atomic Coulomb energy  $U$  for the case of a single s band.  $T_0$  is the binding energy of the atomic level from which the s band arises (48).

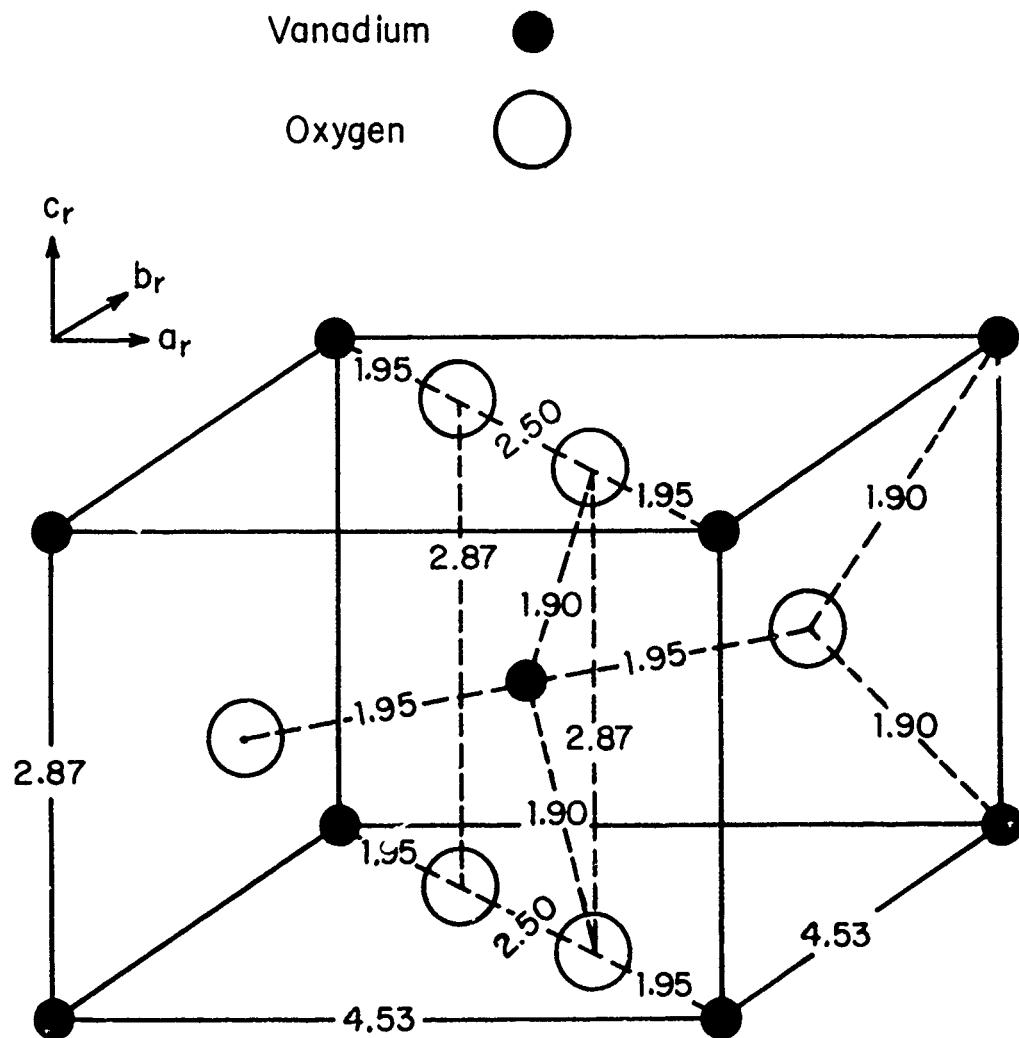


FIGURE I-2 The crystal structure of  $\text{VO}_2$  in the high-temperature rutile phase; space group  $\text{P}4_2/\text{mnm}$ . Distances are in angstroms (41, 52)

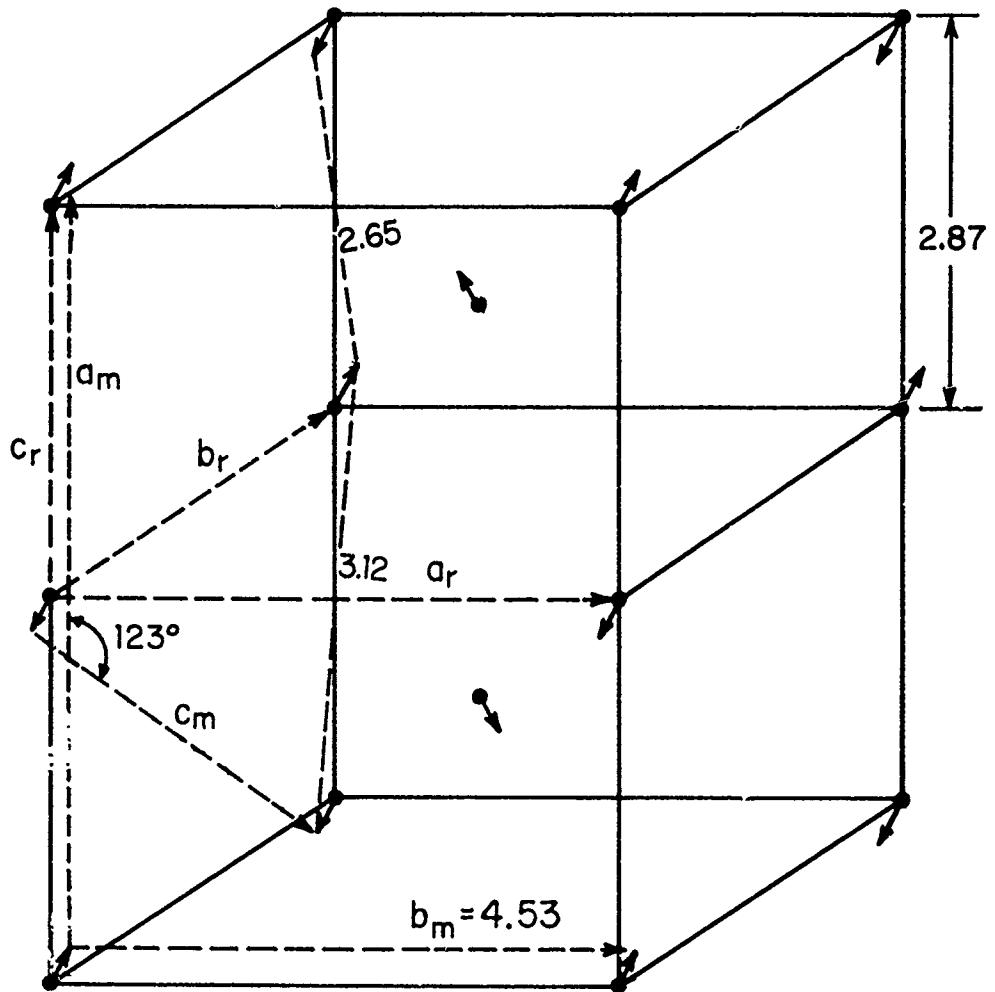


FIGURE I-3 Monoclinic  $P_{21}/c$  structure of the low-temperature  $\text{VO}_2$  phase and its relationship to the rutile phase. Only the vanadium ions are shown. The displacement of the vanadium ions at the transition is demonstrated. Distances are in angstroms (41,84)

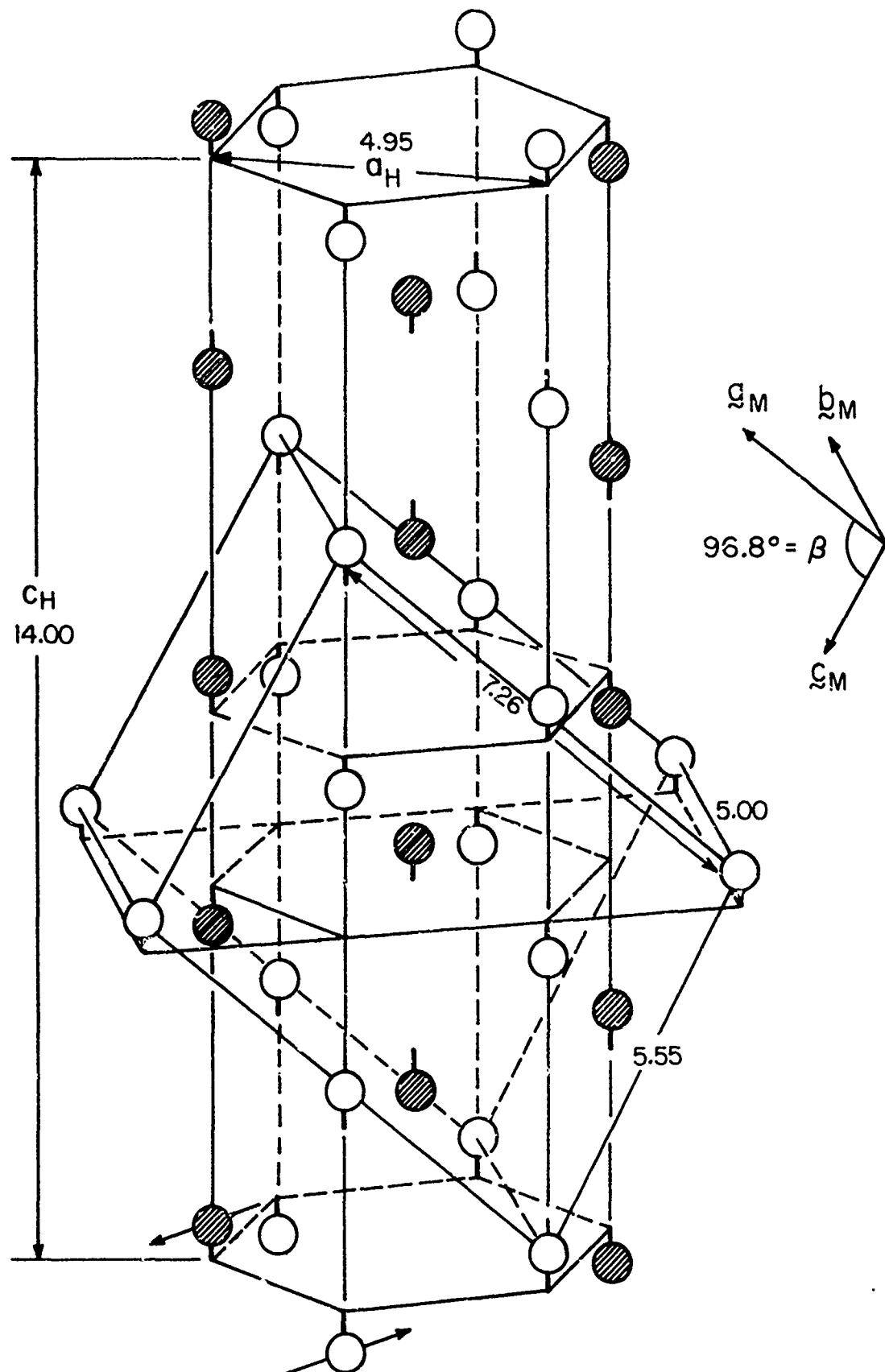


FIGURE I-4 The crystal structure of  $\text{V}_2\text{O}_3$  showing both low-temperature monoclinic primitive cell (space group  $\text{I}2/\text{a}$ ) and the high-temperature hexagonal cell (space group  $\text{R}\bar{3}\text{c}$ ). Open and hatched circles refer to cations of different spin orientation in the low-temperature antiferromagnetic phase. Distances are in angstroms (28, 34)

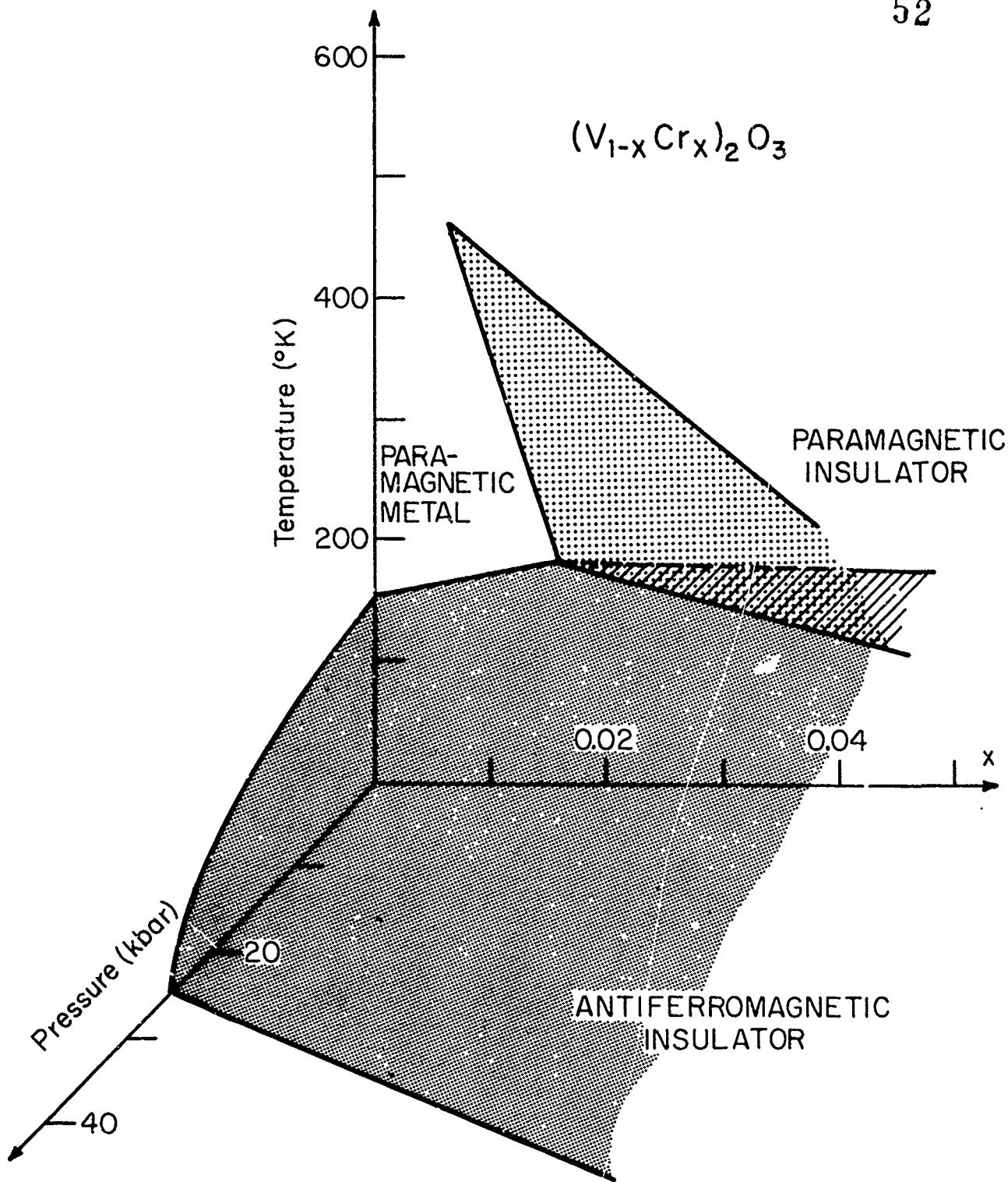


FIGURE I-5 Temperature-pressure-composition phase diagram of  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  system (34).

## CHAPTER II

### PREPARATION OF FILMS AND CRYSTALS

In Chapter I we discussed the fact that one of the major experimental problems in studying the transition metal oxides is the preparation of high quality single crystals and films. In this chapter we will discuss some of the methods of growing films and crystals of  $V_2O_3$  and  $VO_2$ .

Since the vanadium-oxygen system is very complex (see Fig. II-1), the growth of  $V_2O_3$  and  $VO_2$  crystals and films is complicated. We will begin by briefly discussing methods used by other investigators to grow single crystals and films of vanadium oxides. (Methods of obtaining sintered samples of these oxides will not be mentioned since sintered samples are usually poor substitutes for single crystals for physical measurements.) Then, we will describe the methods we used in the preparation of crystals and films of some of these oxides. We should point out that our purpose is not to investigate in detail the different growth processes in films and crystals of these vanadium oxides. Rather, we want to obtain some experience in growing good quality single crystals and films that will show a first order phase transition with a large resistivity change at the transition. There has been no exhaustive attempt, in our investigation, to explore the various conditions of growth nor to obtain the optimal growth parameters.

A. Earlier Methods of Preparation1. VO<sub>2</sub> Crystals

VO<sub>2</sub> single crystals were first grown by Guggenheim (1) by the hydrothermal growth technique (2) and measured by Morin (1). These crystals showed a first order phase transition with a resistivity change of only a factor of  $\sim 10^2$  at  $\sim 350^\circ\text{K}$ .

Single crystals of VO<sub>2</sub> have also been grown by flowing oxygen-free nitrogen gas past a platinum crucible containing both VO<sub>2</sub> and V<sub>2</sub>O<sub>5</sub> powder heated to 1000°C. The partial oxygen pressure was low enough so that V<sub>2</sub>O<sub>5</sub> was reduced to VO<sub>2</sub>. This method was first used by Sasaki and Watanabe (3), who obtained crystals with resistivity changes up to a factor of 10<sup>4</sup>. MacChesney et al. (4) and Everhart et al. (5) used the same method as Sasaki and Watanabe, but with different growth parameters, and were able to grow crystals as large as 1 cm in width. Their crystals had a resistance change at the transition of a factor of as large as 10<sup>5</sup> and a hysteresis on temperature cycling of 1°C.

Various vapor transport techniques of growing VO<sub>2</sub> single crystals were used by Kitahiro, Watanabe and Sasaki (6). They managed to grow crystals of VO<sub>2</sub> by reacting V<sub>2</sub>O<sub>5</sub> with titanium in a heated sealed quartz tube. The crystals were small ( $\sim 0.1\text{mm} \times 0.2\text{mm} \times 8\text{mm}$ ) and showed a resistivity change of a factor of  $3 \times 10^4$  within 1°C at 65.5°C.

Takei and Koide (7,8) presented a new technique which was based on the chemical decomposition of VOCl<sub>3</sub> vapor with moisture in an inert or reducing atmosphere. They managed to obtain single crystals of

$V_2O_5$ ,  $VO_2$ ,  $V_3O_5$ , and  $V_2O_3$ . The largest  $VO_2$  crystals grown by this method were  $\sim 0.8\text{ mm} \times 0.8\text{ mm} \times 15\text{ mm}$ . There was a resistivity change of a factor of  $\sim 10^4$  at  $\sim 65^\circ C$ . Using this same technique, epitaxial films of VO and  $VO_2$  on appropriate substrates were also obtained. Growth of epitaxial films of  $V_2O_3$  was not successful. This technique will be discussed in more detail later as we have adopted it in our preparation of these vanadium oxides.

In 1969, Bando, Nagasawa, Kato and Takada (9) adopted a technique used by Niemyski and Piekarczyk (14) for  $TiO_2$  to produce single crystals of the vanadium oxides. This method proved to be very successful as they have managed to grow single crystals of  $V_2O_4$  (9),  $V_3O_5$  (10),  $V_6O_{11}$  (10),  $V_4O_7$  (11),  $V_7O_{13}$  (11),  $V_5O_9$  (12), and  $V_8O_{15}$  (13). This vapor transport method involved the use of tellurium tetrachloride ( $TeCl_4$ ) as a transport agent. In all cases, the powders of each vanadium oxide of which single crystals were to be prepared was sealed in a heated and evacuated quartz tube with an appropriate amount of  $TeCl_4$ . The resultant single crystals in every case possessed the same chemical composition. This technique proved to be a very flexible method to obtain single crystals of many vanadium oxides, especially in the Magnéli phase system ( $V_nO_{2n-1}$  for  $n=4, \dots, n$ ) where the chemical composition is very difficult to control. The quality and size of these crystals are reasonable. For instance, in  $VO_2$ , there was a resistivity change of a factor of  $\sim 10^5$  within  $1^\circ C$  at  $67^\circ C$ . The crystal size was  $\sim 2-3\text{ mm}$  in width and  $\sim 1.6\text{ cm}$  in length (9). The only drawback in the method is

the toxic nature of  $\text{TeCl}_4$ ; however, this is but a minor problem requiring only careful handling. Growth of epitaxial films of these oxides by this method has not yet been reported, but there is no apparent reason that it cannot be done.

The technique of growing crystals by slow cooling of  $\text{VO}_2$  in a  $\text{V}_2\text{O}_5$  flux, first used by Sobon and Greene (17), was adopted by Ladd and Paul (15, 16) to obtain high quality crystals of  $\text{VO}_2$ . An appropriate mixture of powders of  $\text{VO}_2$  and  $\text{V}_2\text{O}_5$  was sealed in an evacuated quartz tube, and heated to about  $1100^\circ\text{C}$ . Though the melting point of  $\text{VO}_2$  is  $\sim 2000^\circ\text{C}$ , it will dissolve readily in an appropriate amount of  $\text{V}_2\text{O}_5$  when the temperature is  $\sim 800^\circ\text{C}$  (see Fig. II-1). The temperature of the flux was then slowly reduced to room temperature (about  $3^\circ\text{C}/\text{hour}$ ). Single crystals of  $\text{VO}_2$  were subsequently obtained in a solidified  $\text{V}_2\text{O}_5$  flux, which was dissolved. The crystals in each run ranged from large ones of  $\sim 1 \text{ mm} \times 1 \text{ mm} \times 10 \text{ mm}$  to smaller but mechanically stronger ones. Resistivity measurements as a function of temperature were done on a few of these crystals (15, 16), and the insulator-metal transition was found to occur often within one degree of  $65^\circ\text{C}$  with a hysteresis on temperature cycling of  $\sim 1^\circ\text{C}$ . The resistivity change was typically by a factor of  $10^5$ .

## 2. $\text{V}_2\text{O}_3$ Crystals

Single crystals of  $\text{V}_2\text{O}_3$  have usually been prepared by the flame fusion technique, one of many variations of the Verneuil method (18). In the flame fusion technique, material in the form of a fine powder, in

this case  $V_2O_3$  powder, is continuously added to the molten top of a seed crystal with heat usually being provided by an oxy-hydrogen flame. The chief advantage of this method is that no crucible is required to hold the melt. It thus permits the growth of crystals from materials having very high melting points, and for which no non-reactive crucible materials can be found. The disadvantages are that the high thermal gradients present usually give rise to thermal strains in the crystals and that with the use of an oxy-hydrogen flame it is not always possible to adjust the ratio of oxygen to hydrogen freely to provide the correct oxygen partial pressure for the growth of stoichiometric oxides. In fact, this latter point most likely explains why  $VO_2$  cannot be grown by the flame fusion technique (17).

Feinleib and Paul (19, 20) did their measurements on single crystals grown by Linde Co. (21) by the flame fusion technique. They found that the crystals exhibited a resistivity change of a factor of  $\sim 10^7$  at  $\sim 140^\circ K$  on cooling and  $\sim 150^\circ K$  on heating. Goodman (22) also measured  $V_2O_3$  crystals provided by Linde Co. and obtained a resistivity change of a factor of  $10^8$  at  $\sim 160^\circ K$  on cooling. Austin and Turner's (23) Hall effect measurements on  $V_2O_3$  crystals from Linde Co. were discussed earlier in Chapter I. The flame fusion technique was also used by Sobon and Greene (17) to grow  $V_2O_3$  single crystals; no electrical data were reported by them as these crystals all cracked at  $\sim 170^\circ K$  on cooling.

Single crystals of  $V_2O_3$  were also produced by the flame fusion method at the Institute of Crystallography of the Academy of Sciences of the USSR (24). These crystals showed an electrical discontinuity of a factor of  $10^6$  at a transition temperature of  $\sim 145^\circ K$  on cooling. On heating, the transition temperature was at  $\sim 165^\circ K$ .

Single crystals of  $V_2O_3$  were prepared at Bell Telephone Laboratories by a flux method (25) similar to the method we used in growing  $VO_2$  crystals, except that in preparing the  $V_2O_3$  crystals, the choice of a suitable solvent for  $V_2O_3$  was difficult. Potassium fluoride (KF) was finally chosen and gave satisfactory results. In brief, the growth procedure involves mixing VN with  $V_2O_5$  in a platinum crucible and heating the mixture to  $950^{\circ}C$ . The mixture reacted to form  $V_2O_3$  and was then transported through the molten KF to grow as single crystals in the cooler part of the crucible, which was placed in an argon controlled furnace. The resultant  $V_2O_3$  crystals were quite soluble in boiling water, were  $\sim 5$  mm across and  $\sim 1$  mm thick in size, and were found to contain some VN (chemical analysis showed 1% nitrogen in the crystals). An electrical measurement of one of these crystals as a function of temperature has been reported (25) which showed a conductivity discontinuity of a factor of  $\sim 10^6$  at  $\sim 150^{\circ}K$  on cooling. There was a hysteresis in temperature cycling of  $\sim 10^{\circ}C$ .

Single crystals of  $V_2O_3$  were also grown by the vanadium oxy-chloride decomposition method discussed above. The crystals were thin platelets of about 1 mm wide. The resistivity discontinuity at  $153^{\circ}K$  on cooling of one of the crystals was about a factor of  $10^4$ .

In reviewing various methods that many investigators have used to obtain single crystals of  $VO_2$  and  $V_2O_3$ , we note that they all obtained single crystals with large conductivity changes at the phase transition. There were, however, variations in the magnitude of the discontinuity and the transition temperature, even in crystals prepared by similar

methods. These discrepancies can be explained by the sensitivity of the electrical characteristics of these oxides to the chemical composition and the impurity content. Since there are variations in the properties of single crystals of  $V_2O_3$  and  $VO_2$ , we can expect that films of these oxides will fare much worse. In Sections 3 and 4, we will discuss some methods of preparation and some of the properties of the films of  $VO_2$  and  $V_2O_3$  that have been reported in the literature.

### 3. $VO_2$ Films

In 19<sup>67</sup>. Steensel, Burg and Kooy (26) reported that they had been able to grow  $VO_2$  films by evaporating vanadium on glass substrates in an oxygen atmosphere of  $5 \times 10^{-5}$  torr and then heat-treating the films in oxygen after the deposition. The resultant films varied in thickness from  $0.1\mu - 1\mu$ . The electrical characteristics usually varied from film to film. The resistivity discontinuity was not sharp, varying from a very small anomaly at the transition temperature to a maximum change of a factor of  $\sim 10^3$  over a temperature interval of  $10^\circ C$ . The hysteresis on temperature cycling also varied from  $5^\circ C$  to  $15^\circ C$ . Nor was the transition temperature on heating constant, varying from  $65^\circ C$  to  $70^\circ C$ . Structural analyses were not reported on these films.

Koide and Takei (27) used the oxychloride decomposition technique described earlier, and obtained epitaxial films of  $VO_2$  on single crystal  $TiO_2$  and  $GeO_2$  substrates. A typical film was  $3\mu - 20\mu$  thick, although the growth conditions could be varied to give films as thick as  $200\mu$ . Resistivity measurements as a factor of temperature showed wide variations between samples. The best sample they reported showed a resistivity discontinuity of a factor of  $\sim 10^3$  at  $\sim 65^\circ C$ .

MacChesney et al. (28) managed to grow  $\text{VO}_2$  films by a technique involving the vapor deposition of  $\text{V}_2\text{O}_5$  films on single crystal sapphire substrates by the reaction of  $\text{VOCl}_3$  with  $\text{CO}_2$ . The  $\text{V}_2\text{O}_5$  films were then reduced to  $\text{VO}_2$  films by a mixture of  $\text{CO}$  and  $\text{CO}_2$  gases. The resulting films ( $0.1 - 10\mu$ ) showed a sharp drop in resistance ( $10^3$  ohms) at  $\sim 67^\circ\text{C}$ . The hysteresis on temperature cycling was about  $10^\circ\text{C}$ .

Rczgonyi and Polito (29) first prepared  $\text{V}_2\text{O}_5$  films of  $\sim 0.2\mu$  thickness on single crystal sapphire substrates by oxidizing vanadium films deposited by DC sputtering of vanadium targets. The  $\text{V}_2\text{O}_5$  films were then reduced to  $\text{VO}_2$  films. The resistivity change of one of the films was a factor of  $\sim 10^3$  at  $\sim 68^\circ\text{C}$ . The films prepared by the above two methods were all polycrystalline.

The best  $\text{VO}_2$  films reported were grown by reactive sputtering of vanadium targets (30, 31, 32). The  $\text{VO}_2$  films were deposited on various kinds of substrates, for example single crystal sapphire, single crystal  $\text{TiO}_2$  (rutile), amorphous glass and glassy ceramic. On single crystal rutile and sapphire substrates, epitaxial films of  $\text{VO}_2$  were obtained with resistivity discontinuities as large as a factor of  $\sim 4 \times 10^3$  at the transition temperature. Epitaxial films on sapphire substrates showed a transition temperature  $\sim 68^\circ\text{C}$ , while those on rutile substrates had a transition temperature at  $\sim 58^\circ\text{C}$ . In both cases, the hysteresis was less than  $10^\circ\text{C}$ . The films grown on glass and ceramic substrates were polycrystalline with a resistivity change of a factor of only  $10^2$  at about  $68^\circ\text{C}$ .

Since then,  $\text{VO}_2$  films have been prepared by other authors using the same or similar techniques (33, 34, 35) leading to similar results.

A significant experiment on amorphous  $\text{VO}_2$  films was done by Kennedy and Mackenzie in 1969 (36). The amorphous films were grown by radio-frequency sputtering of  $\text{VO}_2$  powder target on cold substrates of single crystals of  $\text{MgO}$ ,  $\text{Al}_2\text{O}_3$ , and  $\text{SiO}_2$ , and on glass. Kennedy and Mackenzie, using x-rays, found the films to be amorphous. The interesting feature of their experiment is the absence of the insulator-metal transition in these amorphous films. When annealed in argon for 24 hours at  $600^\circ\text{C}$ , the films became crystalline and a resistivity change of a factor of  $\sim 10^2$  at  $\sim 68^\circ\text{C}$  appeared.

Mackenzie (37) later reported that amorphous  $\text{VO}_2$  films grown at "apparent" substrate temperatures above  $65^\circ\text{C}$  had relatively high conductivity ( $\rho \sim 5 \times 10^{-3} \Omega\text{-cm}$ ), while those grown at "apparent" substrate temperatures below  $66^\circ\text{C}$  had low conductivity ( $\rho \sim 10^2 - 10^3 \Omega\text{-cm}$ ). He, however, did not clarify what he meant by "apparent" substrate temperature. From the experiments on the amorphous films, Mackenzie suggested that the electrical conductivities of these films were governed primarily by the short-range structure of the films, but that the insulator-metal transition in  $\text{VO}_2$  depended on their long-range order.

#### 4. $\text{V}_2\text{O}_3$ Films

There have been few reported attempts to grow  $\text{V}_2\text{O}_3$  films. In one of these, Rozgonyi and Polito (29) managed to grow thin polycrystalline films of  $\text{V}_2\text{O}_3$  using the same technique discussed on p. II-8. The

electrical characteristics of their films were poor when compared with those of the bulk crystals. The electrical conductivity as a function of temperature showed a change of a factor of  $\sim 10^6$  at  $\sim 125^\circ\text{K}$  on cooling over a temperature interval of  $25^\circ\text{C}$ . There was also a hysteresis of about  $30^\circ\text{C}$ .

Hensler, Ross and Fuls (32) tried to grow  $\text{V}_2\text{O}_3$  films by reactive sputtering of a vanadium target, but managed to obtain only a mixture of  $\text{VO}_{1.2}$  and  $\text{V}_2\text{O}_3$ . Takei (8) also tried to grow  $\text{V}_2\text{O}_3$  films on single crystal sapphire substrates by the vapor transport method discussed on p. II-2, with no success. Kennedy and Mackenzie (36, 37) reported that they had grown amorphous films on  $\text{V}_2\text{O}_3$  by radio frequency sputtering of powdered  $\text{V}_2\text{O}_3$  targets. As in the case of amorphous  $\text{VO}_2$  film, these amorphous  $\text{V}_2\text{O}_3$  films failed to show any insulator-metal transition. After annealing, the films became crystalline, and a large resistivity change of a factor of  $10^8$  occurred between room temperature and  $77^\circ\text{K}$ . However, since they provide no plot of resistivity as a function of temperature, the existence of a sharp insulator-metal transition in the crystallized film can only be inferred.

### 5. $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$ Crystals

We have discussed in Chapter I that, in addition to the low temperature phase transition at  $150^\circ\text{K}$ , there is a second first order phase transition in  $\text{V}_2\text{O}_3$  crystals doped with an appropriate chromium concentration and grown by the flux method described on p. II-6. By adding  $\text{Cr}_2\text{O}_3$  to the mixture of  $\text{VN}$ ,  $\text{KF}$ , and  $\text{V}_2\text{O}_5$ , Remeika obtained

crystals of  $V_2O_3$  with different chromium concentrations. Pure  $V_2O_3$  crystals grown by this method were  $\sim 5$  mm across and 1 mm thick. The size of the crystal in the mixed oxides decreased rapidly with increasing chromium content, and at  $x \approx 0.12$ , the crystals were less than 0.1 mm wide. The doped crystals, like the  $V_2O_3$ , had a considerable amount of nitrogen (probably  $\sim 1\%$ ) in them, and were quite soluble in boiling water.

**B. Preparation of Films and Crystals of  $VO_2$  and  $V_2O_3$ , and  
Crystals of  $(V_{1-x}Cr_x)_2O_3$**

Films and crystals of vanadium oxides are difficult to grow, not only because of the complex vanadium-oxygen system, but also because of the high melting points of most of these materials. Table II-1 lists the melting points of vanadium metal and some of the oxides in which we are interested.

Material	Melting Points ( $^{\circ}\text{C}$ )
Vanadium V	$1890 \pm 10$
Vanadium Dioxide ( $VO_2$ )	1967
Vanadium Sesquioxide $(V_2O_3)$	1970
Vanadium Pentoxide $(V_2O_5)$	690

Table II-1: Melting Points of Vanadium and Some Oxides (38).

Since  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$  both have melting points of  $\sim 2000^\circ\text{C}$ , the preparation of films of these oxides by the evaporation of these oxides from tungsten and tantalum boats is not recommended. In addition, the oxygen partial pressure from the oxides tends to oxidize the boats at these high temperatures and the oxides of tungsten and tantalum are volatile. Nor is evaporation of vanadium metal from these boats successful, as the vanadium alloys with the tungsten and tantalum. In addition to the above difficulties, at high temperatures,  $\text{VO}_2$  decomposes to lower oxides of vanadium and oxygen (26). Therefore, in the preparation of films and single crystals of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$ , special care must be given to the selection of the appropriate growth techniques.

### 1. Radio Frequency Sputtering

Sputtering occurs when a target is bombarded by energetic ions causing some surface atoms to be ejected from the target. The surface atoms then collect on any surfaces which may be close to the target. (A detailed exposition of theories of sputtering may be found in the following references: 40, 41, 42, 43, 44, 45, 46.)

In our sputtering apparatus (see Fig. II-2), the energetic ions are provided in the manner described below. Electrons produced by thermionic emission from a tungsten filament are attracted towards an anode and during the process acquire energy from the electric field provided by the anode. When sufficient energy is attained, these emitted electrons will ionize the sputtering gas atoms. The ionization of these atoms will in turn provide secondary electrons, which can then participate

in further ionization of the gas atoms. Under proper operating conditions the resultant plasma of energetic ions and electrons can be sustained. Then, when a negative dc potential is applied to the target, the positive ions in the plasma will be attracted to the target and DC sputtering begins.

In our experiments, radio frequency sputtering (RF sputtering) was used to sputter pressed targets of  $V_2O_3$  and  $VO_2$ . The difference between RF sputtering and DC sputtering is that in the former, a radio frequency alternating potential is applied to the target instead of the negative DC potential used in the DC sputtering. DC sputtering is adequate for sputtering metallic targets. On the other hand, if an insulating target is used in DC sputtering, the positive charges from the bombarding energetic ions will build up on the surface of the target and repel all further ions from bombarding the target. If an alternating potential is applied to this insulating target, the surface of the target will be periodically neutralized by the electrons in the plasma attracted to the target by the positive potential in every half cycle of the alternating potential. Therefore, the RF sputtering technique can be used for both metallic and insulating targets.

At room temperature,  $V_2O_3$  is quite a poor metal ( $\rho \sim 10^{-3} \Omega\text{-cm}$ ) while  $VO_2$  is insulating ( $\rho \sim 100 \Omega\text{-cm}$ ). When powders of  $V_2O_3$  and  $VO_2$  are pressed into targets, their resistivity is usually higher (e.g., the resistivity of a pressed  $V_2O_3$  target was found to be  $\rho \sim 0.2 \Omega\text{-cm}$  at room temperature). Although it might be possible to sputter  $V_2O_3$  (but not  $VO_2$ ) targets by the DC technique, we decided to use RF sputtering to sputter both  $V_2O_3$  and  $VO_2$  targets.

Our sputtering apparatus is based on a RD Mathis model SP210A triode sputtering unit for both the RF and DC sputtering. A turbomolecular pump (Welch model 310A, made by the Welch Company, Illinois) enables us to reach a vacuum of  $3 \times 10^{-6}$  torr. A turbomolecular pump was chosen over a diffusion pump because of its high pumping speed, and its minimal oil contamination. Furthermore, the turbomolecular pump can be used to pump all non-corrosive gases and will not be damaged by an accidental exposure to atmospheric pressure.

This sputtering apparatus was originally assembled by Rossi (39) to grow NiO films by DC reactive sputtering. During our research work, further improvements have been made. Figure II-2 is a schematic diagram of our sputtering system, and Fig. II-3 and Fig. II-4 show some of the equipment that has been used during our film preparation. We will identify each individual part later in the text.

The targets were made by pressing  $V_2O_3^*$  or  $VO_2^*$  powders in a  $1\frac{1}{2}$ " diameter die. Figure II-3a shows the die that we used. It was made of Lehigh H stainless steel (47) which can withstand abrasions from the powders when under a uniaxial stress of about  $5 \times 10^4$  psi. Generally, an eight gram load of  $V_2O_3$  or  $VO_2$  powder would give us a disc of  $\sim 1\frac{1}{2}$ " diameter and  $\frac{1}{8}$ " thick. The target to be sputtered was then mounted on an oxygen-free copper block with a diameter slightly smaller than that of the target by a solder of high thermal and electrical conductivity (Eccobond Solder 56c (48)). Figure II-3b shows the copper block with

\* $V_2O_3$  powder obtained commercially from United Mineral and Chemical Corp., New York.

$VO_2$  powder obtained commercially from Alfa Inorganics, Beverly, Mass.

a pressed target of  $V_2O_3$  mounted on it. Finally, the copper block with the target was mounted on the water-cooled electrode shown in Fig. II-2.

The substrates used were polished single crystals of sapphire of <0001> orientation obtained commercially from the Adolf Miller Co., Rhode Island. We further polished the sapphire substrates using first  $1\mu$  diamond paste and then  $0.03\mu$  syton to reduce the surface damage. The cleaning procedure for the substrates involved a five-minute scrub with Alconox and a rinse in hot water, followed by a rinse in distilled water. After they were boiled in  $H_2O_2$  solution for ten minutes, they were rinsed in doubly distilled water and dried by blowing dry nitrogen gas over them. During the whole process (right after they were scrubbed in Alconox), they were placed in a specially built teflon basket (see Fig. II-3c) and never allowed to be dried in air. This elaborate cleaning process was used by Hensler et al. in cleaning their sapphire substrates before the deposition of  $VO_2$  films (49).

The construction of the substrate heater is illustrated in Fig. II-4a, which also shows the substrate holder (the slot in the holder is designed to receive a standard size sapphire substrate, i.e.,  $0.310"$  square x  $0.010"$  thick). A platinum-platinum 10% rhodium thermocouple was mounted next to the substrate.

During the presputtering process, a mechanical shutter (see Fig. II-4b) was usually placed just above the substrate and between the target and the substrate. Hence any film deposition would be on the shutter

and not on the substrate. When the operating sputtering conditions were stabilized, the shutter was removed and the actual film deposition began.

Argon gas was chosen as the sputtering gas, partly because of its inertness and partly because of its relatively large molecular weight when compared with other inert gases such as nitrogen; it thus provided a large sputtering rate. The argon gas, obtained commercially from the Igos Co., Massachusetts, with a stated purity of 99.995% was further purified by passing it through calcium turnings heated to 400°C.

V<sub>2</sub>O<sub>3</sub> Films. The above sputtering system was used to grow V<sub>2</sub>O<sub>3</sub> films by radio frequency sputtering of pressed V<sub>2</sub>O<sub>3</sub> targets. Four polycrystalline films grown on sapphire substrates under very similar conditions. Typical operating conditions were: argon pressure at ~ 1.6μ, radio frequency at 0.1 Mz, target voltage of ~ 1700<sup>v</sup>, target current at ~ 110 ma, and substrate temperature at ~ 400°C. The sputtering lasted about five hours with a deposition rate of 1100<sup>o</sup>A/hour, as measured by an interferometer (Hilger and Watts Model 130). Three of the films grown had no post-deposition annealing, and one film, VS2, was annealed after deposition in the sputtering system (vacuum ~ 7 x 10<sup>-5</sup> torr) at 300°C for two hours.

Reflection electron diffraction measurements on the films verified that these films possessed most of the rings expected for V<sub>2</sub>O<sub>3</sub>. Figure II-5 shows the reflection electron diffraction pattern of VS3. By assuming that the first ring corresponded to 3.65 Å<sup>o</sup> of V<sub>2</sub>O<sub>3</sub> from ASTM index, then the other rings corresponded to 2.70 Å<sup>o</sup>, 2.46 Å<sup>o</sup>, 2.32 Å<sup>o</sup>, 2.17 Å<sup>o</sup>, 1.83 Å<sup>o</sup>, 1.68 Å<sup>o</sup>, 1.46 Å<sup>o</sup>, 1.42 Å<sup>o</sup>, and 1.32 Å<sup>o</sup>, with an

d (measured) <sup>o</sup> (Å)	ASTM INDEX	
	V <sub>2</sub> O <sub>3</sub>	I/I <sub>o</sub>
3.65	3.65	60
2.70	2.70	80
2.46	2.47	60
2.32	2.32	2
2.17	2.18	20
	2.03	2
1.83	1.83	25
1.68	1.69	100
	1.61	2
	1.57	3
1.46	1.47	25
1.42	1.43	30
1.32	1.33	10

TABLE II-2. Comparison of lattice spacings of a V<sub>2</sub>O<sub>3</sub> sputtered film obtained from reflection electron microscopy with the spacings listed in ASTM Index.

experimental uncertainty of about  $\pm 1\%$  on each peak. When compared with the ASTM Index of V<sub>2</sub>O<sub>3</sub> (see Table II-2), we noticed tha' only three rings were missing: at 2.03  $^{\circ}$  Å, 1.61  $^{\circ}$  Å and 1.57  $^{\circ}$  Å. Since these lines are the weakest in the series, their absence is not very surprising. The reflection electron diffraction patterns on other films were very similar and in all cases missing lines in the patterns corresponded to the weak lines in the ASTM series. Therefore, reflection electron microscopy measurements showed these films to be polycrystalline V<sub>2</sub>O<sub>3</sub> films.

These films, however, did not show a distinct metal-insulator transition on cooling; their electrical resistivity at room temperature varied from  $\sim 5 \times 10^{-4}$  to  $10^{-3} \Omega\text{-cm}$ , and typically showed a slight decrease from 2 to 8 times when the temperature was reduced from room temperature to that of liquid nitrogen.

These four films were then annealed at  $600^{\circ}\text{C}$  for 24 hours in a sealed quartz tube which had been flushed repeatedly with argon and evacuated to  $10^{-5}$  torr. After the annealing, they all showed a large resistance increase (all had more than a factor of  $10^3$ ) when cooled from room temperature to that of liquid nitrogen. The electrical resistivity as a function of temperature of two of the films is shown in Fig. II-6. Despite the difference in the room temperature resistivity and the breadth of the structure, the resistivity change is about a factor of  $10^2$  at  $\sim 150^{\circ}\text{K}$ , which is close to the transition temperature of the bulk  $\text{V}_2\text{O}_3$  crystal. The electrical measurements were done by the four probe method. Silver contacts were evaporated on a film which had been placed in a brass block and covered by a brass mask (see Fig. II-4c). Electrical leads were then attached to the silver contacts by silver epoxy. For VS2, the electrical measurement was made in a Janis Super Vari-Temp. Control Dewar Model 10-DT described in detail by Callendar (50) in his thesis. The electrical measurement on VS4 was done in a dewar designed by Ladd (16). Figure II-7 shows the copper block on which the film was mounted and the associated electrical and heater arrangements. The block was then placed in a stainless dewar and evacuated to  $10^{-5}$  torr.

A cooling rate of  $5^{\circ}\text{C}/\text{min}$  could be obtained by immersing the dewar in liquid nitrogen and adjusting the heater current. Our temperature reading was accurate to within  $\pm 1^{\circ}\text{C}$ . Such low accuracy was quite sufficient to establish the alteration of the resistivity versus temperature relation caused by annealing.

Although the electrical characteristics of these films were different before and after annealing, the reflection electron diffraction measurements showed that the films remained polycrystalline  $\text{V}_2\text{O}_3$  films after the annealing.

The effect of the annealing is not certain. One possibility is that the size of the crystallites increased. If this is the case, it may imply a minimum crystallite size or a minimum degree of order for a phase transition to propagate. As discussed earlier, Kennedy and Mackenzie (36) had already noted that amorphous films of  $\text{V}_2\text{O}_3$  grown at temperature  $\sim 130^{\circ}\text{C}$  were metallic both above and below the transition temperature. When annealed, a large change of resistance occurred between room temperature and  $77^{\circ}\text{K}$ . In  $\text{VO}_2$ , in addition to the absence of the phase transition, Mackenzie (37) also reported that the amorphous films deposited below the transition temperature were semiconducting while similar films deposited above the transition temperature remained metallic. If this is the case, one can deduce that the substrate temperature determines the local order, which, in turn, determines the transport mechanism, and that the insulator-metal transition is inhibited because the lattice cannot transform. The present measurements may suggest

the amorphicity is not necessary for the inhibition of the phase transition, only the greater disorder of a polycrystalline film.

Another plausible possibility is that annealing, even in a sealed quartz ampoule, changes the V-O balance, which might be important in view of the complex V-O system. Reflection electron microscopy identified the films to be of  $V_2O_3$  structure, but it could not inform us of their exact chemical composition.

VO<sub>2</sub> Films. As an extension of our efforts in growing  $V_2O_3$  films by the RF sputtering of  $V_2O_3$  targets, a pressed target of VO<sub>2</sub> powder was prepared and sputtered under similar conditions as in V<sub>2</sub>O<sub>3</sub>. Two polycrystalline films were grown on single crystal sapphire substrates <0001> orientation, but reflection electron microscopy showed that the films were not VO<sub>2</sub>. In fact, if we assume that the first ring corresponded to the first x-ray powder diffraction peak of VO<sub>1.0</sub> (51), then the rest of the rings matched with the diffraction peak of VO<sub>1.0</sub> to within 1%. The reason why VO<sub>2</sub> decomposed to VO is not known for sure. It might be due to the fact that the VO<sub>2</sub> target decomposed at the surface where the surface temperature could have been very high, or that if VO<sub>2</sub> film had indeed been grown, it might have been decomposed by the substrate temperature of 600°C. We may still be able to grow VO<sub>2</sub> films by this method, however, if a mixture of argon and oxygen gases, rather than argon gas alone, is used as the sputtering gas. The mixture might maintain an appropriate oxygen partial pressure in the system to allow growth of stoichiometric VO<sub>2</sub> films. A possible drawback to this

technique is that the reactive sputtering is not very suitable for our existing apparatus; the reasons for this are explained in the next section. In any event, our success in growing  $\text{VO}_2$  films by the vapor transport technique to be discussed later led us to drop experimentation on the sputtering of this material.

## 2. Film Preparation in a Reactive Atmosphere

In our attempts to prepare  $\text{VO}_2$  films in a reactive atmosphere, we used both electron beam gun evaporation and DC sputtering. In the former, vanadium metal in a water-cooled graphite crucible was evaporated in an oxygen atmosphere using a Veeco electron beam gun (Model VeB-6C). By adjusting the power of the gun — and thus the rate of evaporation — and the oxygen partial pressure, we should have been able to vary the vanadium-oxygen ratio in the films. Nevertheless, of the 20 or so films we grew, on  $\text{BaF}_2$  and sapphire substrates, none showed a sharp resistance change near  $67^\circ\text{C}$ . Most of the films were grown with fixed oxygen partial pressure ( $\sim 10^{-4}$  torr) and with varying electron gun power. There were marked differences in the electrical resistance in films grown under apparently similar conditions. The difficulties could be attributed to the many valence states of vanadium which permit it to combine with oxygen in various proportions. Therefore, the ratio of vanadium and oxygen present in the vacuum system has to be exactly right and very well controlled in order to grow good reproducible films. Since our electron beam system is a model without a fine regulation of the beam power, which was found to vary as much as 20% during runs that

typically lasted about 20 minutes, it is not surprising that the preparation of  $\text{VO}_2$  film by this method in our system was unsatisfactory. A very well controlled electron beam system and a good regulator for the oxygen partial pressure in the vacuum system might very well allow growth of  $\text{VO}_2$ .

The same difficulties in using electron beam gun evaporation were encountered in the DC reactive sputtering of a vanadium target. The sputtering system we used was the same as the one described above, operated in the DC mode with the argon sputtering gas replaced by different mixtures of oxygen and argon gases as the sputtering gas. The gas mixtures we used were Ar 80%,  $\text{O}_2$  20%; Ar 90%,  $\text{O}_2$  10%; Ar 95%,  $\text{O}_2$  5%; Ar 99%,  $\text{O}_2$  1% and Ar 99.5%,  $\text{O}_2$  0.5%. There were many variables in the sputtering process, among them, gas mixtures, sputtering pressure, substrate material, substrate temperature, and target current. Most films were grown on glass,  $\text{Al}_2\text{O}_3$  and  $\text{TiO}_2$  substrates with two gas mixtures (Ar 90%,  $\text{O}_2$  10%; and Ar 99%,  $\text{O}_2$  1%) by varying the sputtering pressure and/or the target voltage. None of the films that were grown — about 40 of them — showed any sharp resistivity change near  $67^\circ\text{C}$ . Again, we think that  $\text{VO}_2$  films could have been grown if very well controlled operating conditions were possible.

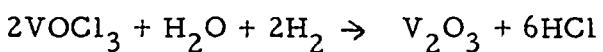
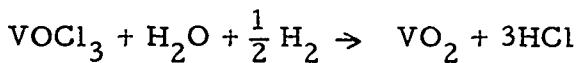
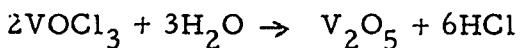
No detailed reflection electron microscopy studies have been done on films grown either by electron beam gun evaporation or by DC reactive sputtering. Reflection electron diffraction measurements showed, in many cases, very faint rings and, in other cases, no clearly visible

structures at all. Hence, though the films are probably polycrystalline, the identification of these phases by reflection electron microscopy has been difficult.

### 3. Vapor Transport Technique

The vapor transport method used by Takei and Koide (7, 8) is considered to be a very flexible method of preparing high melting point materials. We therefore attempted to investigate the preparation of crystals and films by using their technique.

Figure II-8 shows a schematic of the apparatus and the reaction crucibles for both crystal and film growth. The quartz reaction chamber was heated by a resistance furnace controlled by a Barber-Colman electronic controller which regulated the temperature in the reaction crucible to about  $\pm 5^{\circ}\text{C}$ , as indicated by a Platinum-Platinum 13% Rhodium thermocouple placed next to the reaction chamber. Chemical vapors were passed into the reaction chamber through temperature baths controlled to within  $\pm 5^{\circ}\text{C}$ , and the flow rates of these vapors were regulated by flowmeters to better than  $\pm 10\%$  of their values. The chemical equations used in this method\* are:



\*  $\text{VOCl}_3$  solution was obtained commercially from Howe & French Company, Boston, Mass.

V<sub>2</sub>O<sub>3</sub> Crystals. A few runs were made to produce crystals of V<sub>2</sub>O<sub>3</sub>. The best run yielded a reasonable number — about 50 — of V<sub>2</sub>O<sub>3</sub> crystals roughly 2 mm in diameter by 0.5 mm long. The actual operating conditions can be explained by reference to Fig. II-8, with the parameters taking the following values: T<sub>1</sub> = 800°C; T<sub>2</sub> = 60°C; T<sub>3</sub> = 30°C; V<sub>1</sub> = 3.8 cc/min; V<sub>2</sub> = 0.36 l/min; V<sub>3</sub> = 0.3 l/min; and reaction time = 160 hours. The parameters used here, as well as those used in the growth of V<sub>2</sub>O<sub>3</sub> and VO<sub>2</sub> films by this method were chosen with reference to those used by Takei (8). Some adjustments of his parameters were necessary for our system, and our parameters were arrived at empirically after several trial runs. X-ray Debye Scherrer analysis showed the crystals were V<sub>2</sub>O<sub>3</sub>, and x-ray Laue back reflection using tungsten radiation showed them to be single crystals with the c-axis of V<sub>2</sub>O<sub>3</sub> perpendicular to the plane of the platelet. Chemical analysis (52) showed them to be 68.0 ± 0.5% by weight of vanadium, while stoichiometric V<sub>2</sub>O<sub>3</sub> should be 67.98% by weight of vanadium. Spectrographic analysis (52) established that the impurities which are observable by this analysis, were about 1 part per million.\* Optical and optical microscopy examination showed one natural surface of each crystal to be usually very flat and shiny with no visible structure, making the crystals suitable for optical reflectivity measurement.

Figure II-9 shows the resistivity versus the temperature of one of the crystals, together with a comparison with previous investigations.

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\* Elements such as nitrogen, carbon, oxygen, and hydrogen, however, are not detectable by this method.

The data were obtained by a four point probe measurement done in the same apparatus as discussed earlier in this chapter. The actual resistivity value was estimated to within a factor of about 2 or 3 because of the irregular shape of the crystal.

Two additional crystal runs were made to try to reproduce the most successful run discussed above. In both of these runs, we obtained crystals about half the size of those grown in the best run. They were also identified to be  $V_2O_3$  by the x-ray Debye Scherrer measurements. However, these crystals did not have the natural shiny optical surfaces that those grown in the best run possessed, and, therefore, were not used for optical measurements.

$V_2O_3$  Films. Because of our success in obtaining  $V_2O_3$  crystals, we tried to grow epitaxial films of  $V_2O_3$  on single crystal sapphire substrates with  $<0001>$  orientation. Several films were grown that showed large resistance changes (a factor of larger than  $10^2$ ) as the temperature was decreased from room temperature to  $77^{\circ}K$ . One of the films grown was scraped off the substrate and was checked by x-ray Debye-Scherrer measurements. The measurements showed faint rings whose positions corresponded to  $V_2O_3$  x-ray lines from the ASTM index. But since the amount of scraped powder was very minute, there is a possibility of other phases existing in the film in smaller proportions. Reflection electron microscopy determined that these films were essentially epitaxial though it is possible that there were some small angle boundaries between the crystallites. By optical microscope examination, the films

surfaces were rough compared with those of the crystals, with needle-like protuberances on occasion. The thickness of these films were usually uneven, often thinner on the edge than in the middle. Measurement of their thickness was, therefore, difficult. We used a Pratt and Whitney electrolimit gauge (accurate to  $\sim \frac{1}{4}$  micron) to estimate the thickness of the films.

Figure II-10a shows the reflection electron diffraction pattern of one of the films which was grown on a sapphire substrate cut with the c-axis perpendicular to the plane of the substrate. The film has a reasonably smooth surface, as can be seen in Fig. II-10b. Though we did not try to determine the orientation of the film on the substrate, some of the crystallites on the surface had a hexagonal shape, indicating that the film might have grown with the c-axis perpendicular to the plane of the substrate. The electrical resistivity measurements on the film as a function of temperature were done in the dewar discussed earlier in the chapter. Only a two probe measurement was done on this film because of its small physical size (see Fig. II-7). The resistivity value reported in the above figure is an approximate one, partly because of the uneven-ness of the film thickness, and partly because of the inaccuracy of a two probe measurement on an irregular-shaped film. Nevertheless, the film showed a resistance change of  $\sim 10^2$  in the same region where the phase transition occurs in crystals of  $V_2O_3$  (see Fig. II-9). This film was grown under the following conditions:  $T_1 = 800^\circ C$ ;  $T_2 = 60^\circ C$ ;  $T_3 = 30^\circ C$ ;  $V_1 = 3.8 cc/min$ ;  $V_2 = 0.36 l/min$ ;  $V_3 = 0.15 l/min$ ; reaction time  $\approx 42$  hours; with film thickness  $\approx 2\mu$ .

Reproducibility of the vapor transport film was not good. Under similar conditions, we tried twice to reproduce the above film; once we did get a film that showed a large resistance increase of a factor of  $\sim 10^3$  from room temperature to the temperature of liquid nitrogen, but another time a thin discontinuous grey film was obtained.

VO<sub>2</sub> Films. Attempts were made to grow VO<sub>2</sub> films on single crystal sapphire substrates with <0001> orientation. Several films grown indicated resistance changes of more than a factor of 10<sup>2</sup> for the temperature interval from room temperature to  $\sim 80^\circ\text{C}$ . Figure II-11 shows the reflection electron diffraction pattern (indicated the film to be epitaxial) and the optical microscope picture of one of the films grown, under the following conditions; T<sub>1</sub> = 800°C; T<sub>2</sub> = 60°C; T<sub>3</sub> = 30°C; V<sub>1</sub> = 5.7 cc/min; V<sub>2</sub> = 0.36 l/min; V<sub>3</sub> = 0.32 l/min; reaction time = 42 hours; with film thickness  $\approx 1.5\mu$ .

Figure II-12 shows the resistivity versus temperature plot of the film. The measurement was done in the dewar discussed earlier in this chapter. The resistivity value of the film as reported in the above figure, is only an approximate one, again because of the irregular shape of the film and the inaccuracy of the two probe measurement. A sharp resistance change of a factor of  $\sim 10^2$  was indeed observed around 67°C, which is close to that of bulk crystals as demonstrated in Fig. II-2.

VO<sub>2</sub> Crystals. Several attempts were made to grow VO<sub>2</sub> crystals with no apparent success. Most of the runs produced crystals that had mixtures of different vanadium oxides, including VO<sub>2</sub>. Since

high quality  $\text{VO}_2$  crystals had already been successfully grown by Ladd and Paul (15), and since considerable time would have to be spent to obtain the proper growth conditions, we decided to proceed no further.

#### 4. Tri-Arc Czochralski Crystal Growth Technique

$(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  Crystals. Single crystals of  $\text{V}_2\text{O}_3$  and  $\text{V}_2\text{O}_3$  doped with chromium were grown in a tri-arc furnace in Lincoln Laboratory.\* Three electric arcs were used to heat a melt in a graphite crucible surrounded by a water-cooled copper block. The crystal was pulled from the center of the melt with a water-cooled seed rod. Use of this experimental setup eliminated the difficulty of finding crucible materials suitable for high temperature growth, since the melt was contained by a solid shell of the same substance in contact with the cooled crucible.

Figure II-13 shows a cross-section drawing of the tri-arc Czochralski crystal growing furnace. (A detailed discussion of this technique of crystal growth can be found by referring to Reed and Pollard's paper (55)).

$\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  can be grown easily by this method because of their partial oxygen vapor pressure. Figure II-14 shows a plot of oxygen partial pressure versus oxygen-metal ratio for different elements (56). This was obtained from theoretical calculation of the free energy of formation of these materials at 1000°K. It is noted from the chart that the oxygen partial pressures of  $\text{V}_2\text{O}_3$  and  $\text{Cr}_2\text{O}_3$  are both very low and have approximately the same value. Therefore, if  $\text{V}_2\text{O}_3$  crystals can be grown in the apparatus, growth of  $\text{Cr}_2\text{O}_3$  crystals, and the alloys of  $\text{Cr}_2\text{O}_3 - \text{V}_2\text{O}_3$  should not be difficult. In addition, because

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\* In collaboration with Dr. T.B. Reed.

of the very low oxygen partial pressure of both  $\text{Cr}_2\text{O}_3$  and  $\text{V}_2\text{O}_3$ , negligible amounts of oxygen should be lost in the growth process, and the resulting crystals should be stoichiometric.

To grow crystals of  $\text{V}_2\text{O}_3$ , the graphite crucible was first charged with 10-30 grams of  $\text{V}_2\text{O}_3$  powder. The furnace chamber was then flushed by argon for several minutes and then maintained just above atmospheric pressure by a steady flow of argon gas ( $\sim 1000\text{cc/min}$ ). The first arc was started by touching its tungsten cathode to the side of the graphite crucible. The cathode was then moved in to strike the charge. The other two arcs were started the same way, or by touching their cathodes to the first arc. The heat was then increased until a melt was formed. The seed, a molybdenum stud in our particular case, was then dipped into the melt and raised rapidly to form a small neck in the growing crystal in order to eliminate polycrystallinity. The crystal was then raised typically at 4 in/hr, and its diameter was increased either by decreasing the arc current or by moving the cathodes out toward the edge of the melt. During the pulling process, the melt and pull rod were both rotating at a speed of 50-100 cycles/min for better mixing and distribution of heat. When the crystal reached a reasonable size, the pulling rod was raised much faster so that the crystal would break away from the melt. The melt was then cooled slowly. Single crystals of  $\text{V}_2\text{O}_3$  of reasonable sizes were usually also found in the cooled melt. Figure II-15 shows the crystals grown by this technique. The largest one obtained by pulling from the melt, and the others were grown in the melt.

Run	Chromium Concentration (average over a number of crystals)	Mass Spectroscopic Analysis $\Delta$	Optical Measurements *	X-Ray Diffraction Measurements **
1	0		x	
2	0	x		x
3	0.0022		x	
4	0.0030	x		x
5	0.0045		x	x
6	0.0083			
7	0.010		x	x
8	0.014		x	x
9	0.018	x	x	x

$\Delta$  Results of mass spectroscopic analysis are listed on pp. II-33, 34.

\* Results of optical measurements will be presented in Chapter IV.

\*\* Results of x-ray diffraction measurements are shown in Fig. II-16.

TABLE II-3. List of Crystal Runs and Measurements on the Crystals

To grow single crystals of  $(V_{1-x}Cr_x)_2O_3$ , an appropriate mixture of  $V_2O_3$  and  $Cr_2O_3$  powders was used. Though similar operating procedures were followed, we found that it was much harder to pull a large crystal from the melt since the crystal would tend to crack easily.

Therefore, our doped crystals were usually grown by melting the mixed powders with the arcs, then cooling the melt to room temperature. They were usually ~ 2-3 mm across and 3-4 mm long. Table II-3 lists our crystal runs and some of the measurements that have been made on the crystals.

Chemical spectrophotometric analysis on one of the  $V_2O_3$  crystals (Run #2) showed that it contained  $68.0 \pm 0.1\%$  by weight of vanadium, while the stoichiometric  $V_2O_3$  would contain 67.98% by weight of vanadium.

The experimental uncertainty in the chemical spectrophotometric analysis for the chromium concentration in the crystals obviously depends on the amount of chromium present in the test, and in our cases, it was within  $\pm 4\%$  for  $x = 0.002$ , and decreased to within  $\pm 1\%$  for  $x = 0.02$ . The chemical analysis of the doped crystals showed that the average doping concentrations (averaged over a number of crystals) in each run was usually within 10% of the initial doping concentration in the powders. This was partially due to the fact that when the powders were heated up by the arcs, the trapped air in the powders often scattered the powders around, some of it often getting away from the crucible. Furthermore, some segregation (i.e., the ratio of two components in the solid phase usually is different from that in the liquid phase, and usually this ratio itself varies along the length of solid) inevitably must have occurred. When a two-component liquid solidifies, segregation often occurs (57).

To check the effects of segregation in our system, the chemical analysis was done on a number of crystals and on the grains from the melt obtained on the same crystal run (Run #6). It was found that the average chromium doping level of the crystals was  $x = 0.0083$  and was only  $\sim 6\%$  lower than that of the grains. Therefore, the segregation in  $(V_{1-x}Cr_x)_2O_3$  was small when compared with the segregation of many two-component systems, such as indium or antimony in germanium (58). These small segregation effects were further demonstrated by a series of analyses on four doped single crystals (each about 3 mm across and 2 mm long). They were broken into two parts and chemical analyses were performed on the separate parts. The analyses showed that the chromium doping level,  $x$ , in one of the crystals grown in Run #5 was 0.0047 and that there was no variation in the doping level between the two parts of the crystal. A crystal obtained from each of Runs #8 and #9 evidenced only  $\sim 6\%$  difference in the doping level between the two parts of the same crystal; the average chromium doping level,  $x$ , was found to be respectively 0.014 and 0.019. The analysis was also done on a second crystal from Run #9, and a difference of 10% in the doping level between the two parts of the same crystal was observed; the average doping level in this crystal was found to be 0.018.

Thus, the variation of chromium concentration within the crystals, as indicated by the chemical analyses, was small when the uncertainty of the chemical analyses themselves is taken into consideration. The slight variation in chromium concentration within these crystals was

probably due to the fact that the crystals were grown by a relatively rapid solidification from the melt. A detailed explanation of the effect of the rate of solidification on the segregation of a two-component system can be found in reference 57. It is sufficient to point out that in solidification, the two homogeneously-mixed components in the liquid phase are essentially quenched into the solid phase, resulting in very little segregation.

In the above-mentioned analyses of the four crystals, it can be seen that the segregation effects also cause slight variations of doping levels in different crystals from the same growth run. Therefore, chemical analyses, whenever possible, were done individually on crystals whose physical properties were measured, and particularly those whose optical properties were measured. The doping level reported for such a crystal was the average chromium concentration in the crystal. For a crystal which was not individually analyzed, its doping level was approximated by taking the doping level as determined from analyses of a number of crystals grown at the same time, subjected to an uncertainty level of  $\pm 5\%$  of its value.

Mass spectrographic analysis on a single crystal of  $V_2O_3$  from Run #2 showed that the impurity contents were 130 p.p.m. of carbon; 300 p.p.m. of aluminum, 70 p.p.m. of iron; and less than 50 p.p.m. of nitrogen, titanium, molybdenum, potassium, and sodium each. In  $(V_{1-x}Cr_x)_2O_3$  crystals, mass spectrographic analysis on a crystal from Run #4 showed impurity contents to be 360 p.p.m. of carbon,

100 p.p.m. of sodium; and less than 50 p.p.m. of nitrogen, silicon, potassium, and titanium each. On a crystal from Run #9, we found impurity contents to be 80 p.p.m. of carbon and less than 50 p.p.m. of sodium, nitrogen, aluminum, silicon, potassium and molybdenum each.

X-ray Laue back reflection measurements on  $V_2O_3$  and doped  $V_2O_3$  crystals all showed sharp diffraction spots indicating that they were single crystals. From x-ray diffraction measurements, we obtained lattice constants,  $a_H$  and  $c_H$  (as defined in a hexagonal lattice) of  $V_2O_3$  and  $(V_{1-x}Cr_x)_2O_3$  crystals as a function of doping concentrations (see Fig. II-16). We also noted that when  $x$  was between  $\sim 0.010$  and  $\sim 0.015$ , there were two phases coexisting at room temperature. This co-existence of two phases was also observed by McWhan and Remeika (25).

$V_2O_3$  crystals and  $(V_{1-x}Cr_x)_2O_3$  crystals grown by the flux method have been reported to be quite soluble in boiling water (25), though the exact solubility is not known. The solubility of a  $V_2O_3$  crystal from Run #2, however, was examined by boiling it in water for twelve hours. Its weight was found to decrease only by  $\sim 0.6\%$ . Even this small weight decrease could have been caused by having some chips broken away from the crystal during boiling. A doped crystal from Run #9 which was boiled in water for five days, showed a weight decrease of only 0.2%. Therefore, in contrast to what has been reported, these crystals have very low, if any, solubility in water.

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Electrical conductivity as a function of temperature was measured by Honig (59) on one of the  $V_2O_3$  crystals grown by the tri-arc technique, and he observed a resistivity change of a factor of  $\sim 10^7$  at  $157^\circ K$  on cooling and  $168^\circ K$  on heating (59). No electrical data have been collected on our doped crystals.

In this chapter, we have investigated various techniques of preparing films and crystals of  $VO_2$  and  $V_2O_3$ , and the tri-arc technique of growing single crystals of  $(V_{1-x}Cr_x)_2O_3$ . We have also reported on some of their structural and electrical properties. We now turn to an examination of their optical properties.

### C. Summary

Single crystals of  $V_2O_3$ , and crystalline films of  $V_2O_3$  and  $VO_2$ , have been successfully grown by the vapor transport technique. RF sputtering of  $V_2O_3$  targets was found to be suitable for the growth of crystalline films of  $V_2O_3$ . The tri-arc furnace was successfully used to produce single crystals of  $V_2O_3$  and of  $(V_{1-x}Cr_x)_2O_3$  alloys. On the other hand, for diverse reasons elaborated in the main text, single crystal  $VO_2$  was not produced by us by vapor transport, films of VO rather than  $VO_2$  were grown by sputtering of  $VO_2$  targets, and films grown in a reactive atmosphere, whether using electron beam evaporation or DC sputtering did not appear to be  $VO_2$  or  $V_2O_3$ .

The single crystals grown by these methods appear to be at least comparable in quality with those grown by the other techniques discussed in Section A. Indeed, the vapor-grown  $V_2O_3$  may be freer of defects, and the tri-arc material more easily and more controllably reproduced.

Duplication of the success of Takei and Koide and of Bando et al. in growing  $\text{VO}_2$  single crystals by vapor transport would appear to be a matter of adjustment of growth parameters only.

While the vapor transport method served us best for the production of crystalline films of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$ , our success in sputtering crystalline  $\text{V}_2\text{O}_3$  films, and earlier successes of other workers in growing crystalline  $\text{VO}_2$  films in a reactive atmosphere, suggest that all of the methods cited will serve, provided care and patience are exercised in varying, controlling and regulating the deposition parameters. (Note here the experience of Sosnick (54) and Fuls et al. (30) in sputtering  $\text{VO}_2$  films reproducibly.) Thus, for deposition in a reactive atmosphere, the partial pressure of oxygen must be well-regulated, and the vanadium deposition rate must be finely adjustable and controllable. For RF sputtering of targets of the desired material, the target and substrate temperatures and the sputtering rates must be optimized. Our success with the vapor transport technique probably stems from the fact that we spent considerable effort in varying and controlling the parameters there, and we had the advantage of knowledge of a combination of parameters found to be successful by the Japanese group. In spite of the difficulties of reproducibility, our films of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$  did clearly exhibit sharp transitions in resistivity (see Fig. II-12 for  $\text{VO}_2$  and Fig. II-6 for  $\text{V}_2\text{O}_3$ ). These films therefore appear to be suitable to obtain optical data in order to complement those of thin bulk single crystals, which was our primary purpose in growing them in the first place.

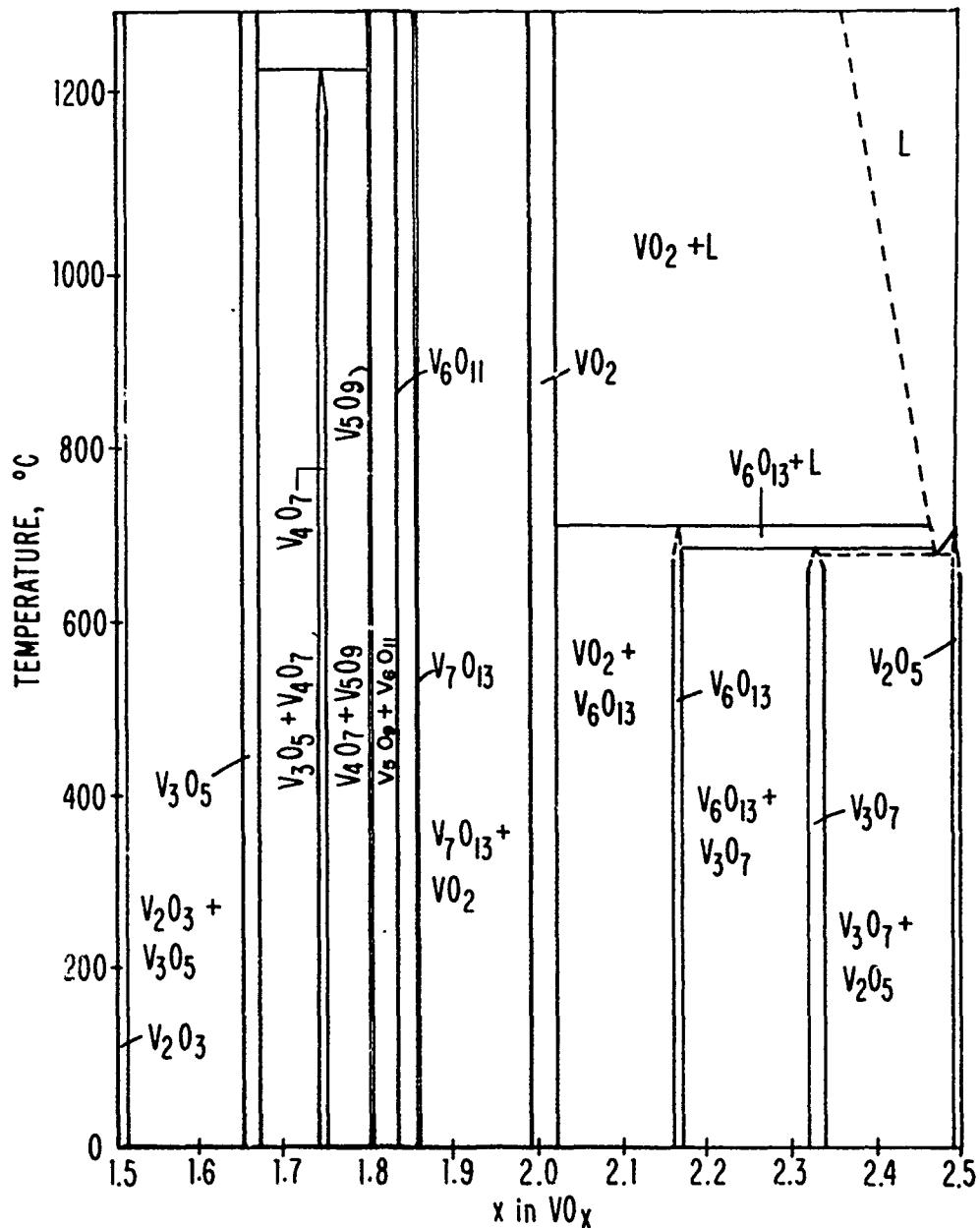
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FIGURE II-1 Phase diagram of  $\text{VO}_x$  for  $x = 1.5$  to  $2.5$  (60).

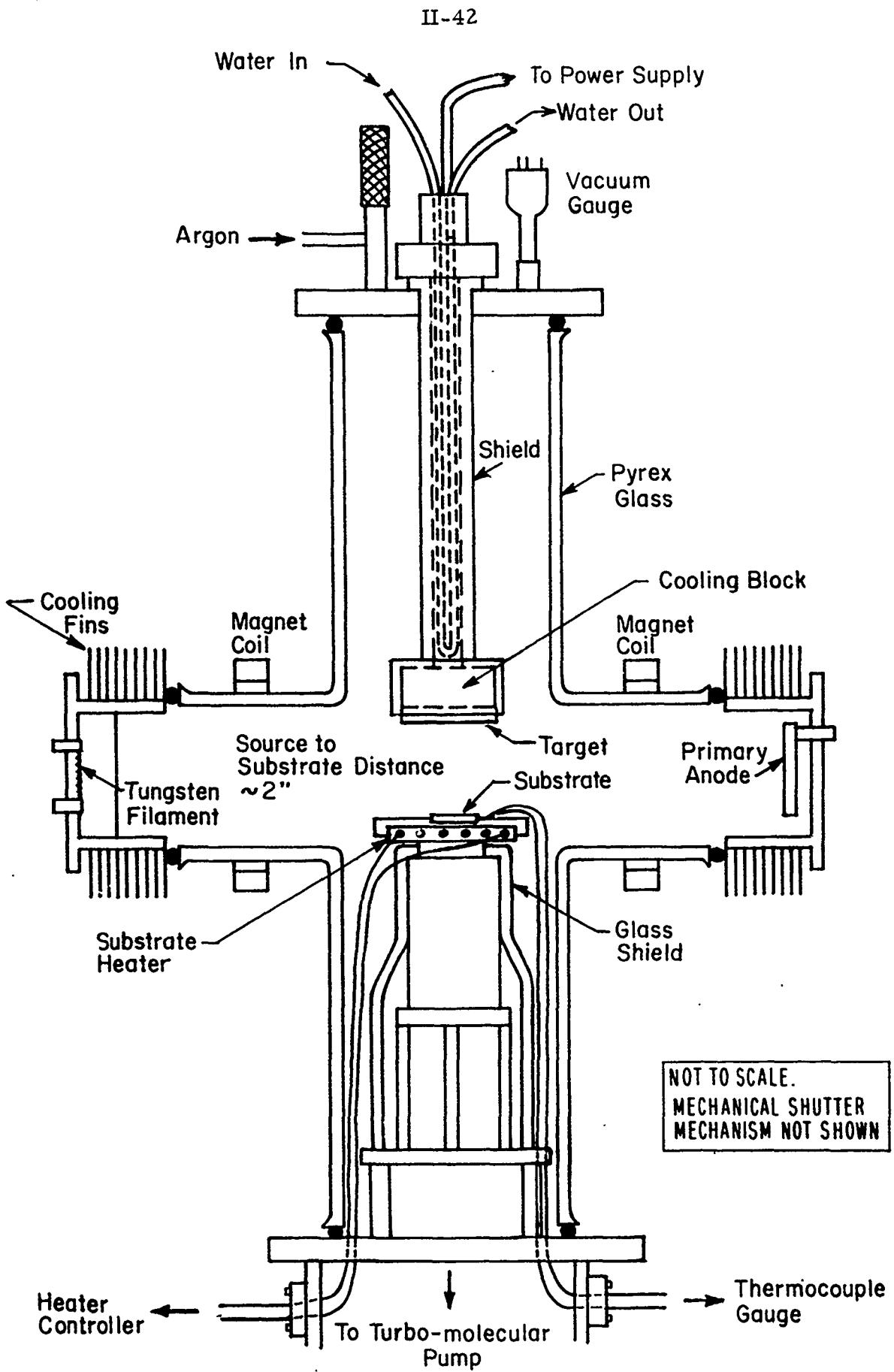
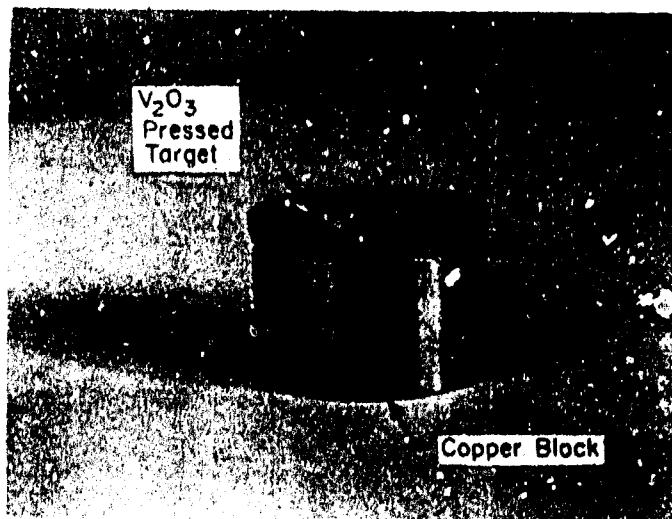


FIGURE II-2 Schematic diagram of our sputtering system.

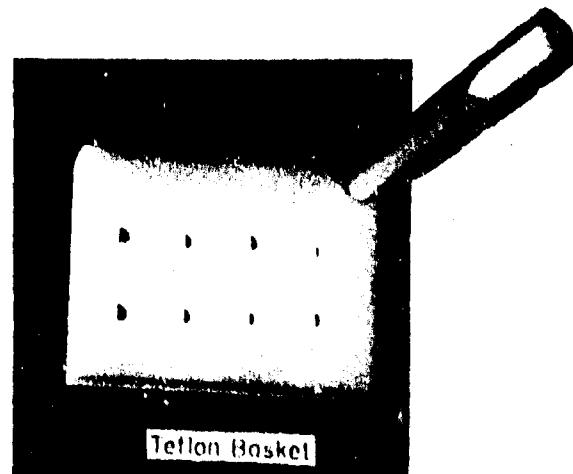


Die

(a)

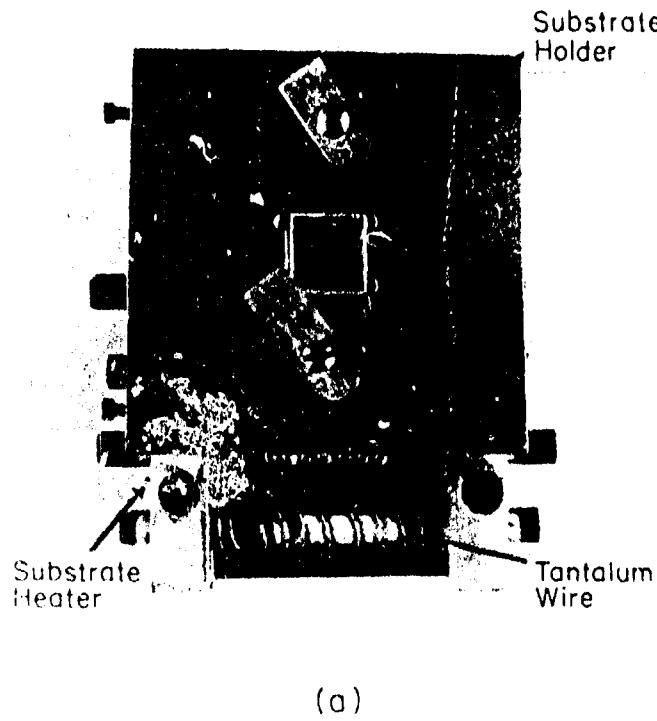


(b)

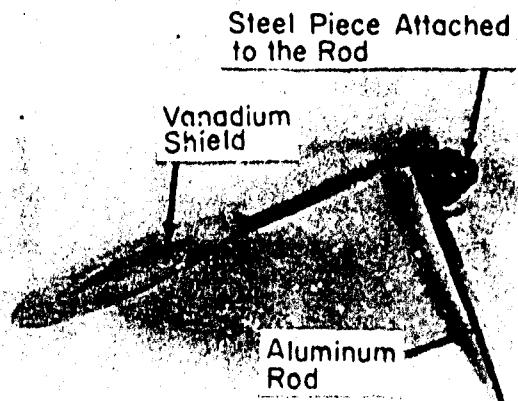


(c)

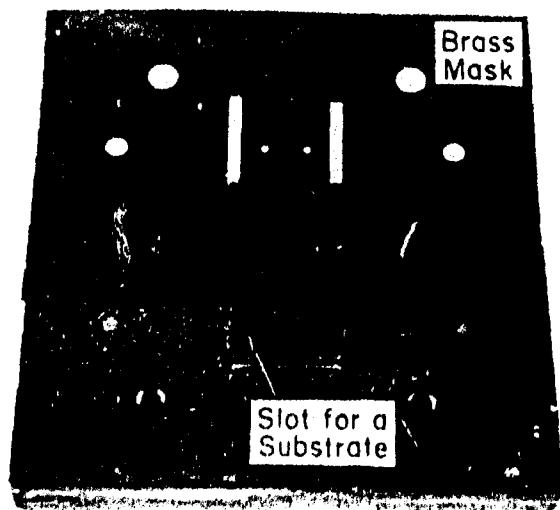
FIGURE II-3 Various parts used in sputtering.



(a)



(b)



(c)

Shutter assembly is swung out of the path of deposition by a magnet (located outside of the bell jar of the sputtering system) which acts on the steel piece

FIGURE II-4 Various parts used in sputtering .

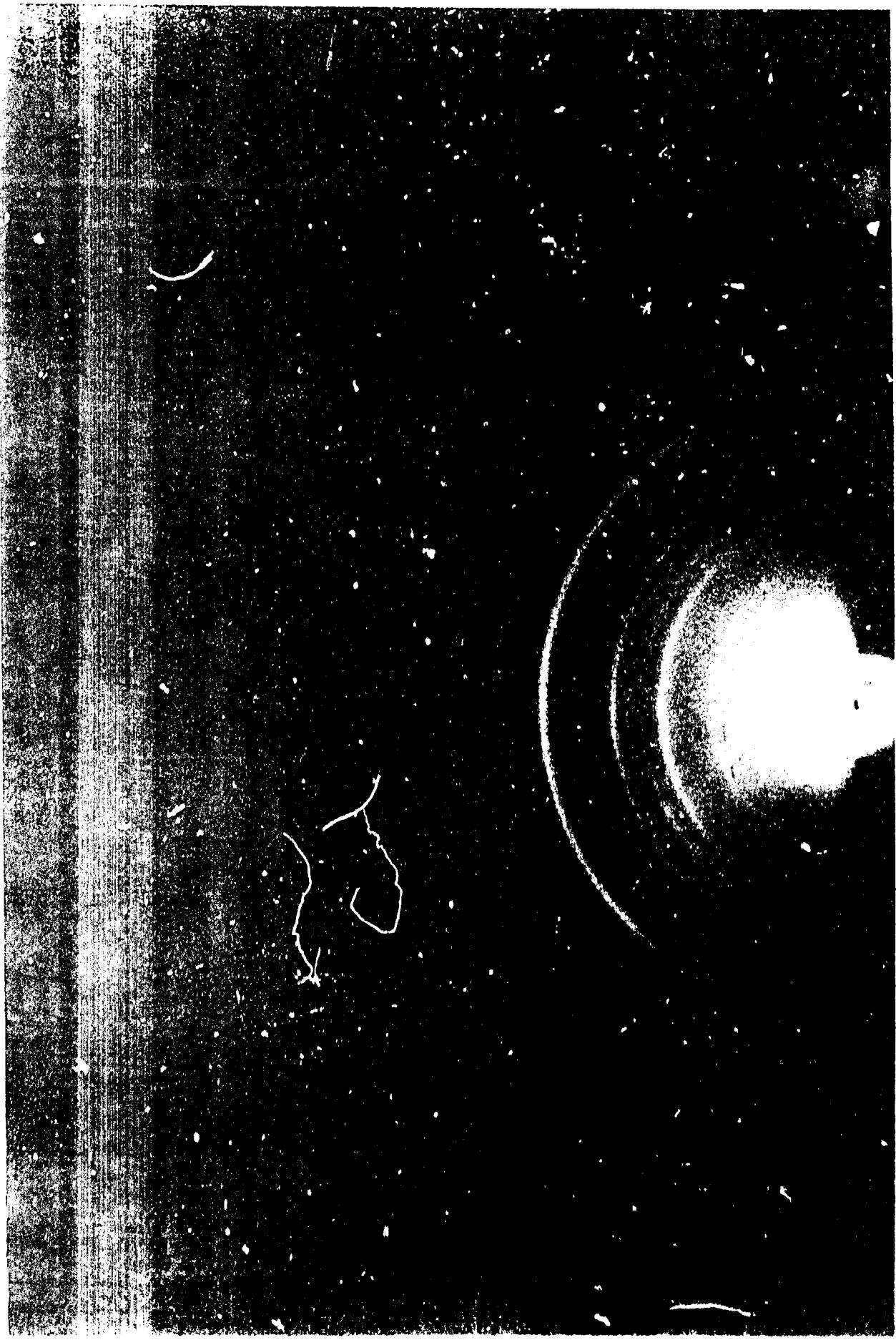


FIGURE II-5 Reflection electron diffraction pattern of a  $V_2O_3$  sputtered film (Hitachi Electron Microscope Model HU-11).

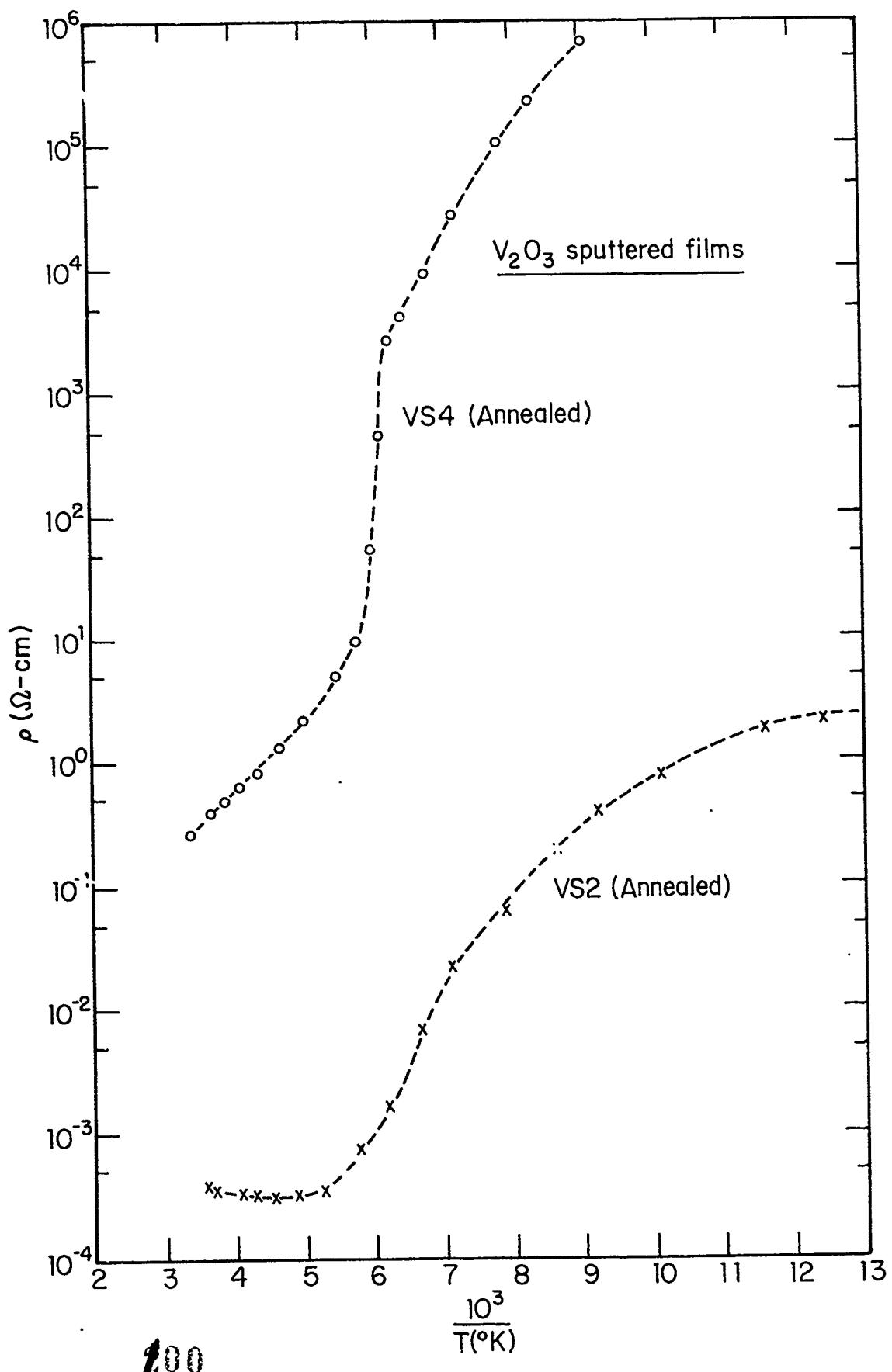


FIGURE II-6 Resistivity versus temperature of two annealed sputtered films of  $V_2O_3$ .

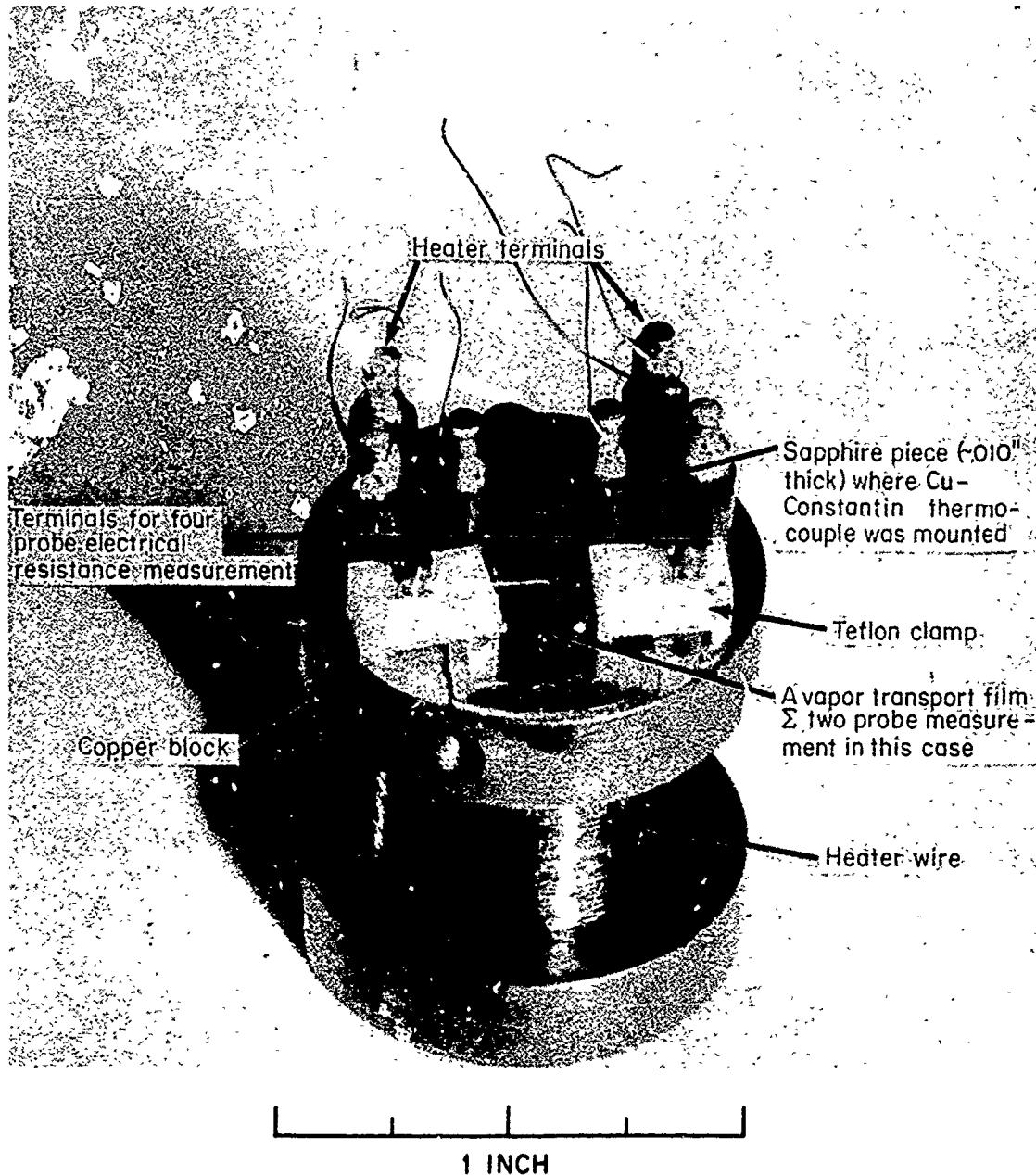
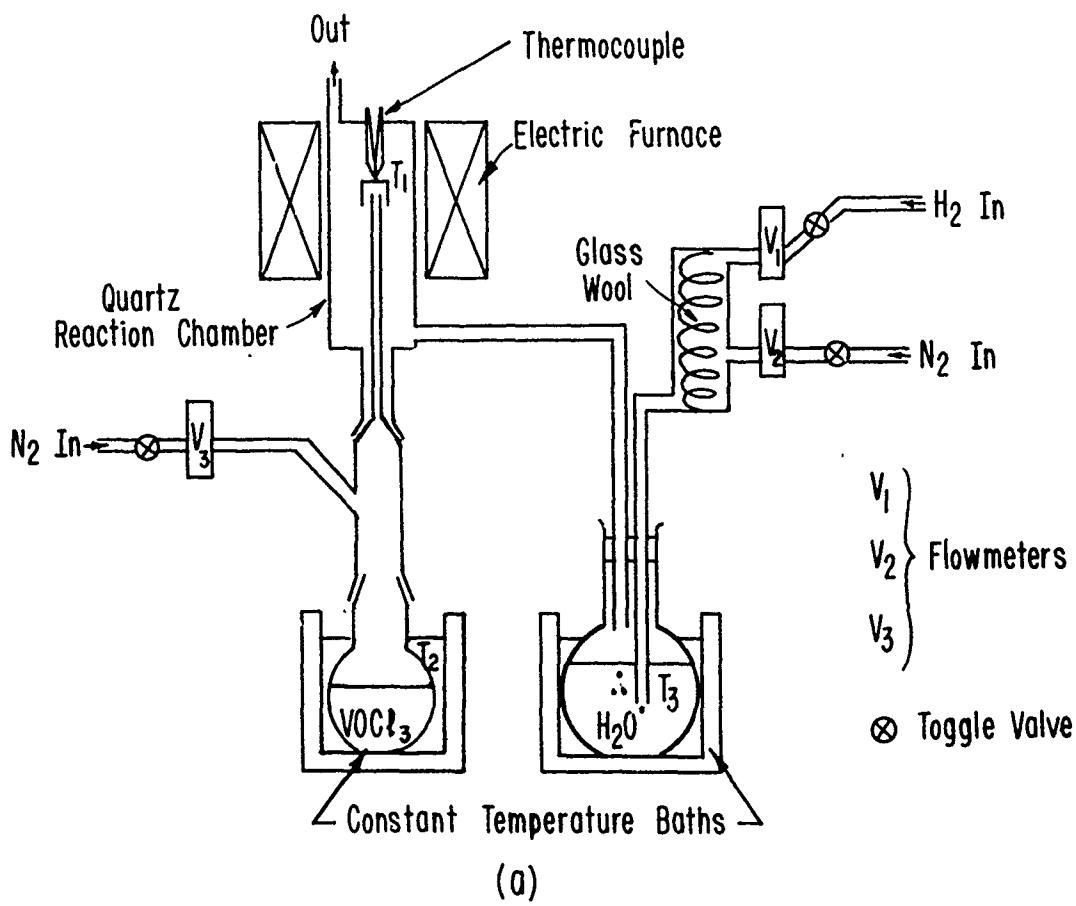
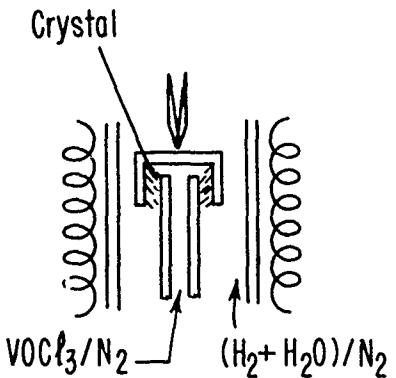


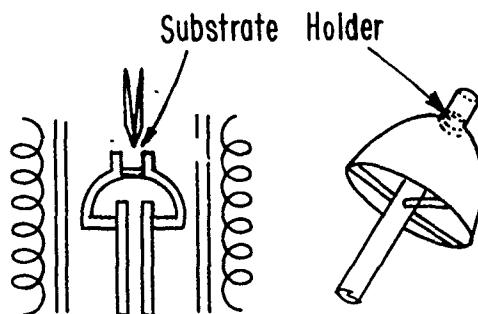
FIGURE II-7 Sample holder for resistance versus temperature measurements.



(a)



(b)



(c)

FIGURE II-8 (a) Schematic diagram of vapor transport apparatus.  
 (b) Detail of the crystal reaction crucible in the quartz reaction chamber.  
 (c) Detail of the film crucible in the chamber.

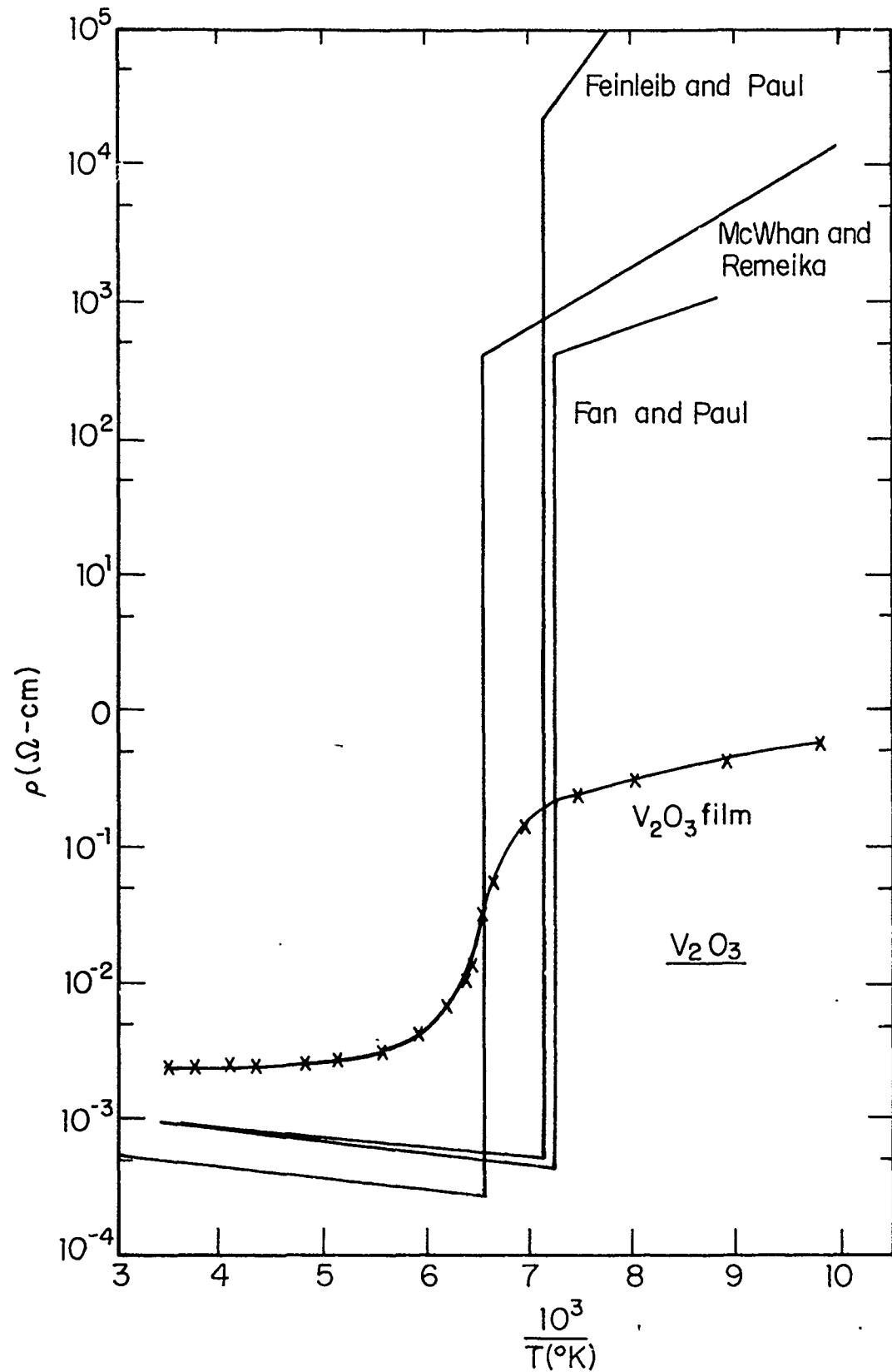
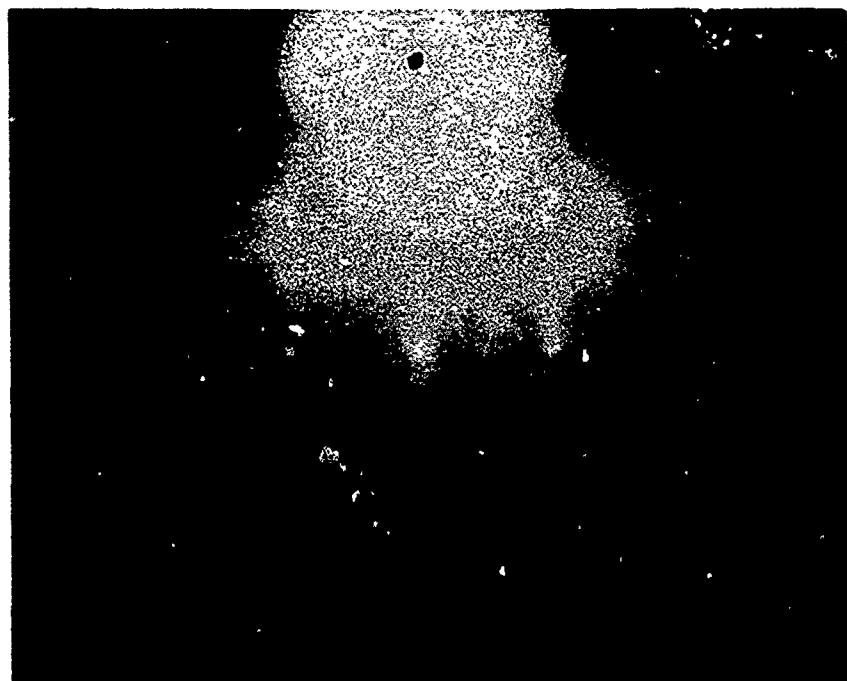
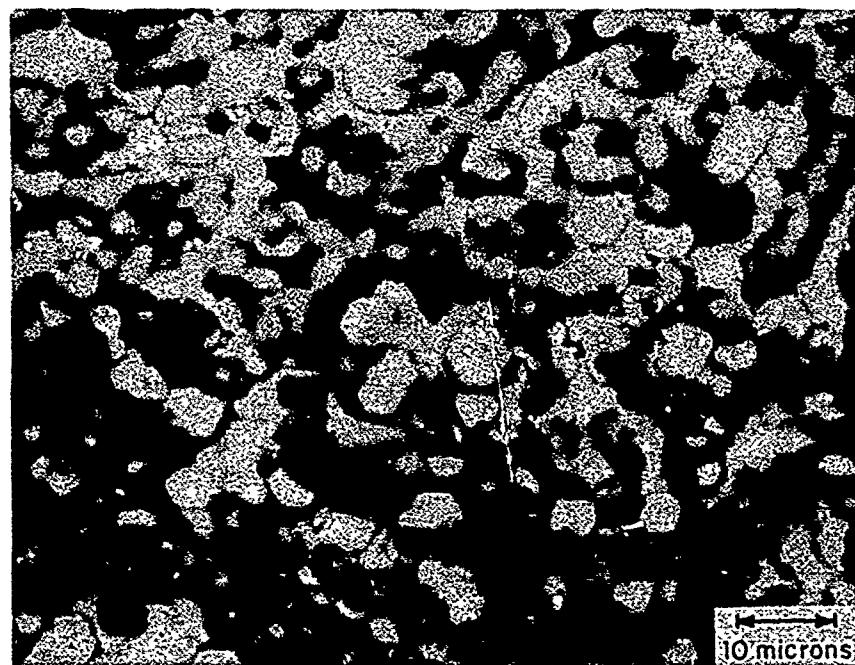


FIGURE II-9 Resistivity versus temperature of  $\text{V}_2\text{O}_3$  crystals measured by several investigators (3, 19, 25) and of a  $\text{V}_2\text{O}_3$  crystal and a  $\text{V}_2\text{O}_3$  film grown by the vapor transport technique.

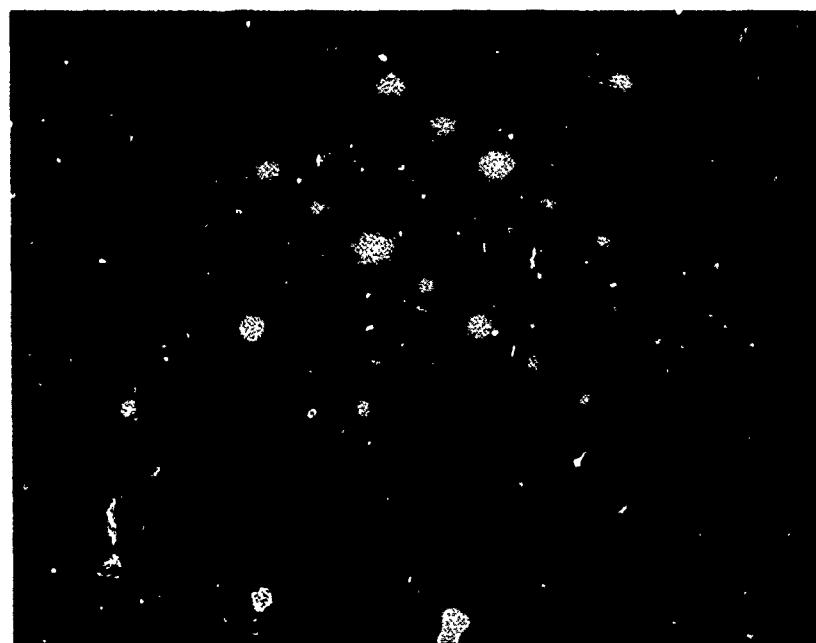


a

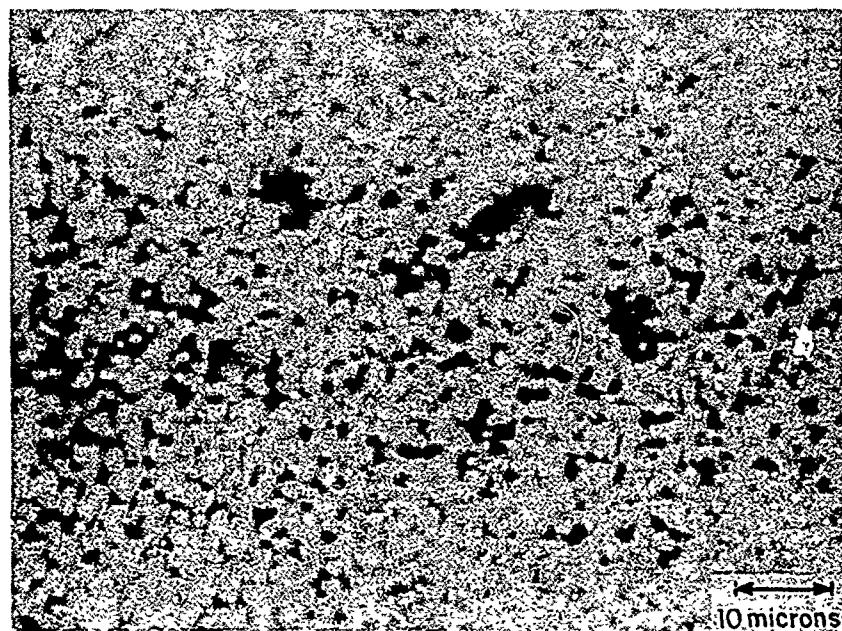


b

FIGURE II-10 (a) Reflection electron diffraction pattern.  
(b) Optical microscopic picture of a vapor transport  $V_2O_3$  film (magnified 1500 times by a Universal Rikert Camera Microscope "MeF").



a



b

FIGURE II-11 (a) Reflection electron diffraction pattern.  
(b) Optical microscopic picture of a vapor transport VO<sub>2</sub> film.

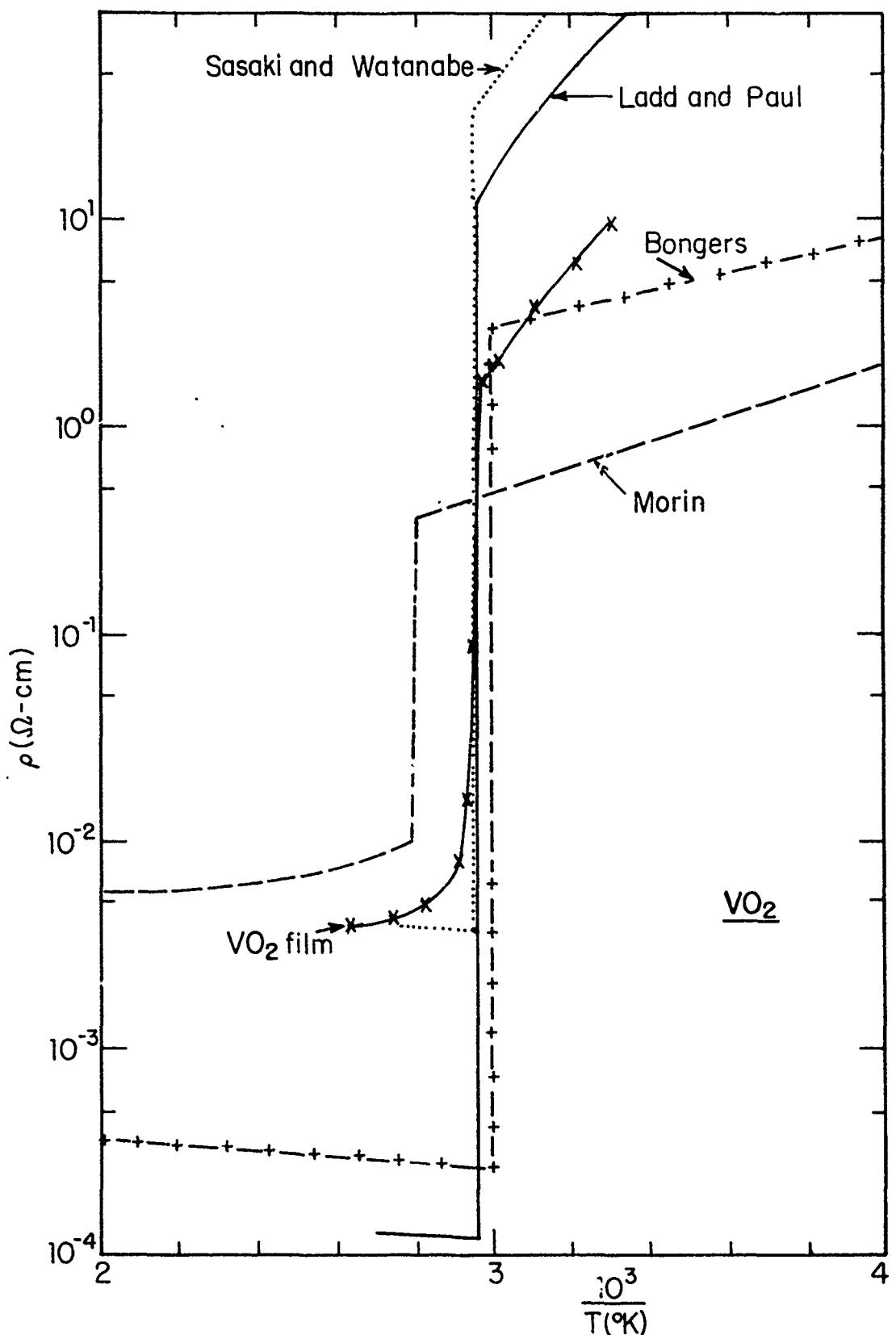


FIGURE II-12 Resistivity versus temperature of VO<sub>2</sub> crystals measured by several investigators (1, 3, 15, 53) and of a vapor transport VO<sub>2</sub> film.

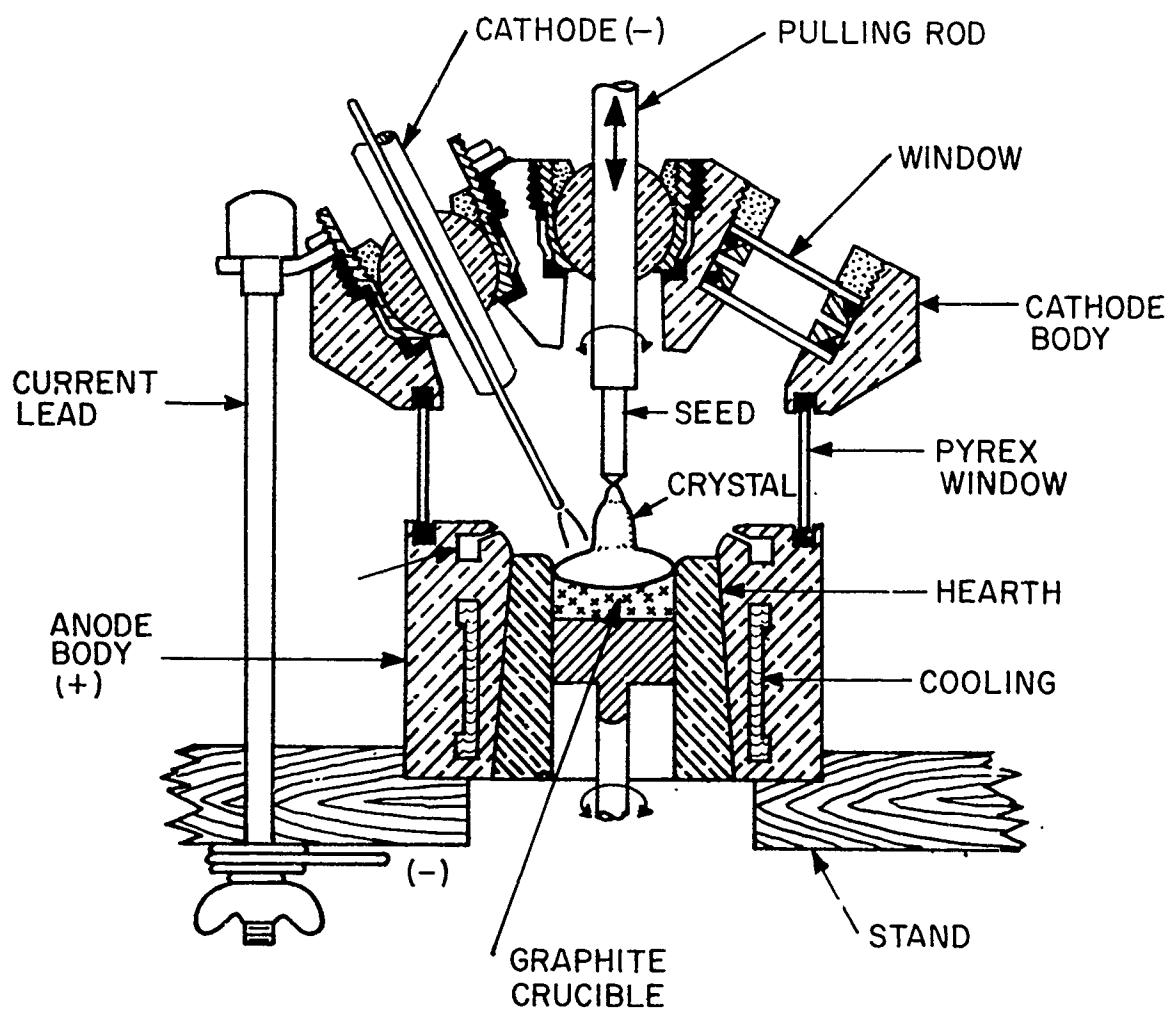


FIGURE II-13 Cross-section diagram of the tri-arc Czochralski crystal growing furnace.

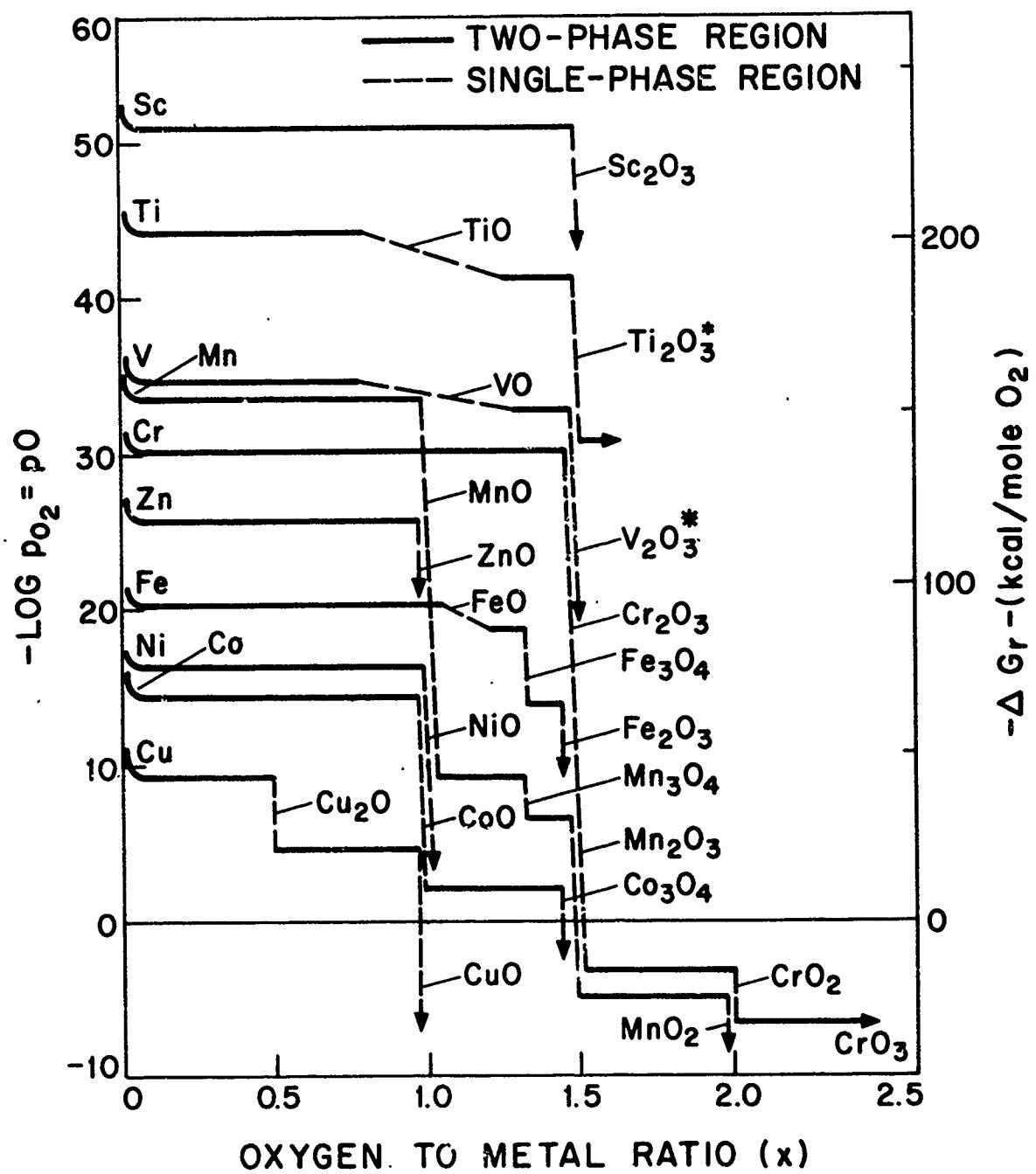
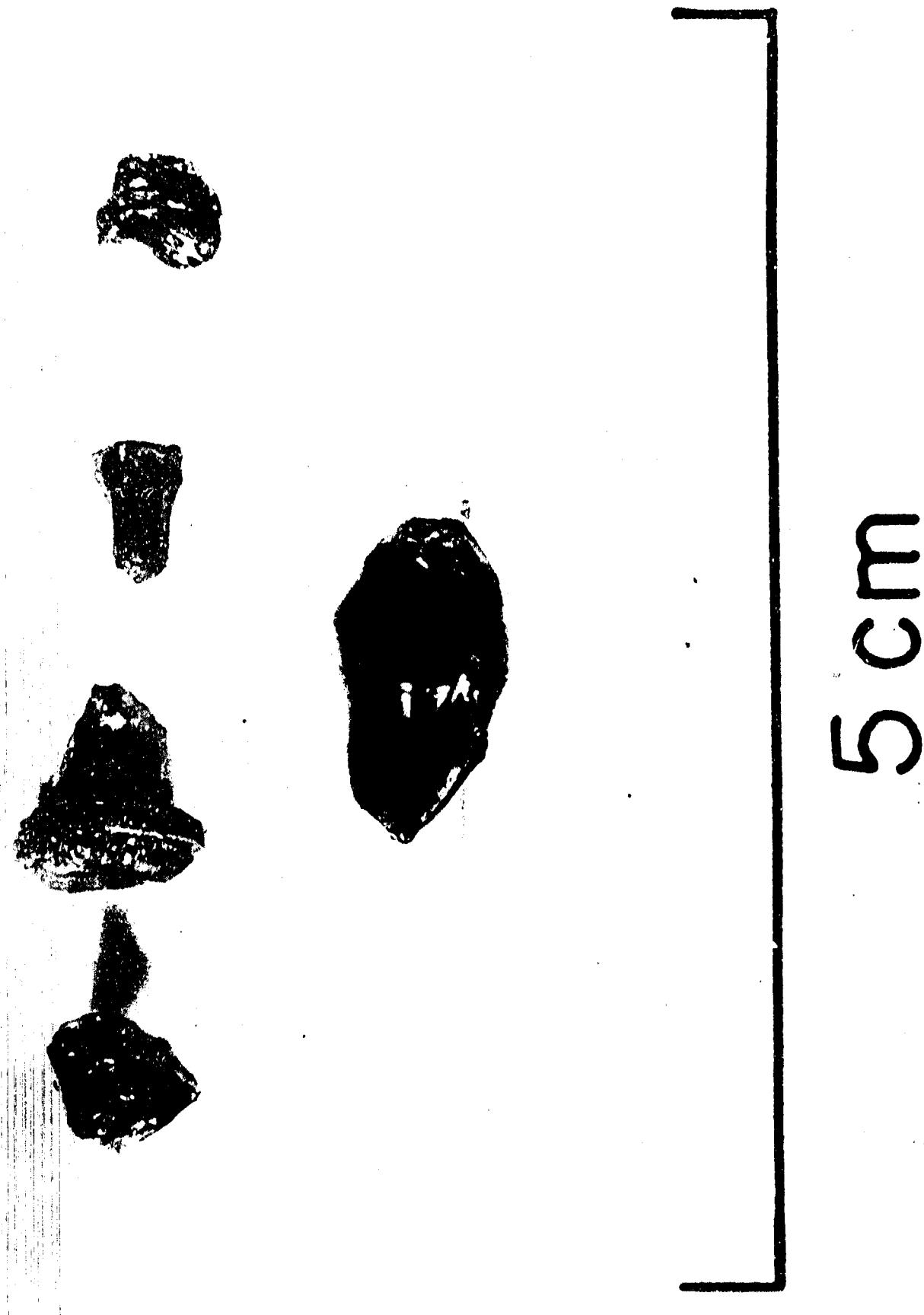
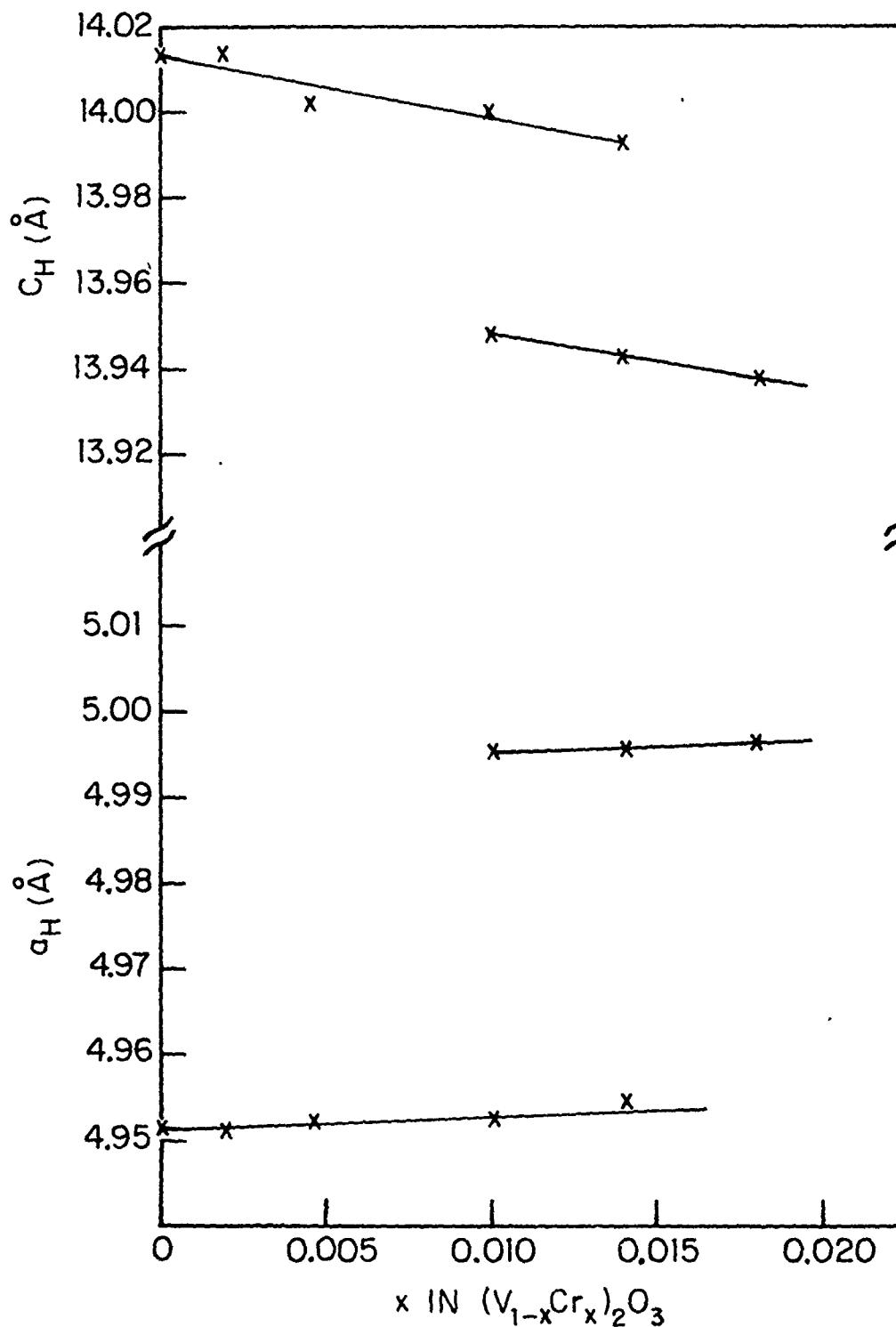


FIGURE II-14 Oxygen partial pressure versus oxygen-metal ratio for different elements. (56).

FIGURE II-15 Picture of  $V_2O_3$  crystals from a crystal run in a tri-arc furnace.





$a_H$  obtained from the (300) peak  
 $c_H$  obtained from the (226) peak  
 $x$  is accurate to  $\pm 5\%$  of its value

FIGURE II-16 Lattice constants of  $V_2O_3$  and  $(V_{1-x}Cr_x)_2O_3$  crystals as a function of chromium concentration.

## CHAPTER III

### DESIGN OF OPTICAL APPARATUS AND METHODS OF DETERMINING OPTICAL CONSTANTS

The electrical properties of materials which show the insulator-metal phase transition have been the object of considerable attention for quite some time, so that by comparison the work on optical properties has been much less extensive and detailed. In many of these materials the nature of the absorption and reflectivity spectra changes noticeably at the phase transition.

An examination of the optical properties and their changes at the transition may therefore increase our understanding of the properties of the insulating and metallic phases on both sides of the phase transition. In this chapter and in Chapter IV we will concentrate on the optical properties of the crystals and films of vanadium oxides and  $(V_{1-x}Cr_x)_2O_3$  whose preparation was described in Chapter II.

#### A. Theories and Methods of Determining the Optical Constants of Solids

The theory of the optical properties of single crystals and films of ordinary metals and semiconductors is well known and has been extensively reviewed (1, 2, 3, 4, 5). Hence, rather than discuss the derivation of the theory in detail, we will instead simply define theoretical constants, their inter-relationship, and how they appear in expressions for experimentally measurable quantities such as transmission and reflectivity.

### 1. Optical Constants

The response of a solid with isotropic or cubic symmetry to incident electromagnetic radiation can be generally described in terms of three optical constants. Since one of the constants, namely the permeability of the material ( $\mu$ ), is generally very close to unity for non-magnetic materials, one has to deal only with the other two optical constants, which are related to each other through dispersion relations.

These two optical constants can consist of either 1) the refractive index  $n$  and the extinction coefficient  $k$ , or 2)  $\epsilon_1$  and  $\epsilon_2$  which are respectively the real and imaginary part of the complex dielectric constant  $\epsilon$ . These two pairs of constants are related as follows:

$$\epsilon(\omega) = \epsilon_1(\omega) + i\epsilon_2(\omega) = [n(\omega) + ik(\omega)]^2 \quad (3-1)$$

Let  $R_\infty$  be the reflectivity at normal incidence of a solid of sufficient thickness so that there is negligible reflection from the rear surface of the solid and  $T_\infty$  be the transmission at normal incidence, then

$R_\infty$  can be expressed in terms of  $n$  and  $k$  as follows:<sup>\*</sup>

$$R_\infty = \frac{(n-n_s)^2 + k^2}{(n+n_s)^2 + k^2} \quad (3-2a)$$

Generally, the solid is either in air or in a vacuum, where  $n_s \approx 1$ . Therefore, Eq. (3-2a) becomes

$$R_\infty = \frac{(n-1)^2 + k^2}{(n+1)^2 + k^2} \quad (3-2b)$$

---

\*The following equations can just as well be written in terms of  $\epsilon_1$  and  $\epsilon_2$ .

Similarly,  $T_{\infty}$  can be expressed as

$$T_{\infty} = \{(1-R_{\infty})^2 + 4R_{\infty} \sin^2 \psi\} e^{-\alpha t} \quad (3-2c)$$

where

$$\alpha = \text{absorption coefficient} = \frac{4\pi k}{\lambda}$$

$\lambda$  = wavelength of incident radiation

$t$  = thickness of the sample

$$\psi = \tan^{-1} \frac{2k}{n^2 + k^2 - 1}$$

If  $n \gg k$ , Eq. (3-2c) becomes

$$T_{\infty} \approx (1-R_{\infty})^2 e^{-\alpha t} \quad (3-2d)$$

As we mentioned earlier, the above equations, Eqs. (3-2a, b, c, d) are valid only if the reflection from the rear surface of the solid is negligible, that is when  $e^{\alpha t} \gg 4$ . \* For thin samples, where the reflection from the rear surface can no longer be neglected, then Eqs. (3-2a, b, c, d) have to be modified:

$$R = \frac{R_{\infty} ([1-e^{-\alpha t}]^2 + 4e^{-\alpha t} \sin^2 \gamma)}{(1-R_{\infty} e^{-\alpha t})^2 + 4R_{\infty} e^{-\alpha t} \sin^2 (\psi + \gamma)} \quad (3-3a)$$


---

\* This criterion can be easily verified from Eqs. (3-3a, b) to be described later).

and

$$T = \frac{e^{-\alpha t} ([1-R_\infty]^2 + 4R_\infty \sin^2 \psi)}{(1-R_\infty e^{-\alpha t})^2 + 4R_\infty e^{-\alpha t} \sin^2(\psi+\gamma)} \quad (3-3b)$$

where

$$\gamma = \frac{2\pi n t}{\lambda} \quad (n \text{ is any integer})$$

$t$  = thickness of a thin sample

$R$  = reflected intensity of the thin sample at normal incidence

$T$  = transmitted intensity of the thin sample at normal incidence.

The second term in the denominator in both Eq. (3-3a) and (3-3b) is an interference term. If no interference fringes are observed, say, because of thickness variation, we then average over  $\gamma$  and obtain:

$$R = \frac{R_\infty (1 - e^{-2\alpha t})}{1 - R_\infty^2 e^{-2\alpha t}} \quad (3-4a)$$

$$T = \frac{([1-R_\infty]^2 + 4R_\infty \sin^2 \psi) e^{-\alpha t}}{1 - R_\infty^2 e^{-2\alpha t}} \quad (3-4b)$$

For thin films deposited on different substrate materials, the effects of substrates on  $R$  and  $T$  must be considered, and the formulae for  $R$  and  $T$  become much more complicated (4, 42). It will not be necessary for us to summarize them here, since we do not analyse our reflectivity and transmission measurements on thin films in order to obtain the optical constants.

When the angle of incidence of the incident radiation is not normal to the surface of a solid, where  $e^{\alpha t} \gg 4$ , then Eqs. (3-2a, b, c, d) again have to be modified. We will consider only the reflected intensity at oblique incidence (6):

$$R_n = \frac{(a - \cos \phi)^2 + b^2}{(a + \cos \phi)^2 + b^2} \quad (3-5a)$$

$$R_p = R_n \frac{(a - \sin \phi \tan \phi)^2 + b^2}{(a + \sin \phi \tan \phi)^2 + b^2} \quad (3-5b)$$

where

$R_n$  = the reflected intensity of the solid when the polarization of the incident radiation is perpendicular to the plane of incidence;

$R_p$  = the reflected intensity of the solid when the polarization of the incident radiation is in the plane of incidence;

$\phi$  = the angle between the incident radiation and the normal to the surface of the solid;

$$a^2 = \frac{1}{2} \{ [(n^2 - k^2 - \sin^2 \phi)^2 + 4n^2 k^2]^{1/2} + (n^2 - k^2 - \sin^2 \phi) \}$$

$$b^2 = \frac{1}{2} \{ [(n^2 - k^2 - \sin^2 \phi)^2 + 4n^2 k^2]^{1/2} - (n^2 - k^2 - \sin^2 \phi) \}$$

In all the above equations,  $n$  and  $k$  are used to relate to experimentally measurable optical quantities, but it is actually the imaginary part of the dielectric constant,  $\epsilon_2(\omega)$ , that comes out most directly from the derivation of the optical properties of the solid from its band structure (2, 7).  $\epsilon_1(\omega)$  can then be obtained from  $\epsilon_2(\omega)$  by the dispersion relations.

## 2. Dispersion Relations

Under certain general assumptions, for example, that there is causality requirement and that the incident electric field is a square-integrable function with time, the dispersion relations can be derived using complex contour integration (8):

$$\epsilon_1(\omega) = 1 + \frac{2}{\pi} P \int_0^\infty \frac{\omega' \epsilon_2(\omega')}{\omega'^2 - \omega^2} d\omega' \quad (3-6a)$$

$$\epsilon_2(\omega) = -\frac{2\omega}{\pi} P \int_0^\infty \frac{\epsilon_1(\omega')}{\omega'^2 - \omega^2} d\omega' + \frac{\sigma_0}{\omega} \quad (3-6b)$$

where  $P$  means the Cauchy principal value of the integral;

$\sigma_0$  = conductivity as  $\omega \rightarrow 0$ .

For non-metals, the second term in the right hand side of Eq. (3-6b) will be zero because  $\sigma_0$  becomes zero. The dispersion relations can also be expressed in terms of  $R$  and  $\theta$ , as defined below:

$$r = \text{complex reflection coefficient} = |r| e^{i\theta} = R e^{i\theta} \quad (3-7)$$

where  $\theta$  is the phase angle and

$$\theta(\omega) = \frac{\omega}{\pi} P \int_0^\infty \frac{[\ln R(\omega') - \ln R(\omega)]}{\omega^2 - \omega'^2} d\omega' \quad (3-8a)$$

or

$$\theta(E) = \frac{E}{\pi} P \int_0^\infty \frac{[\ln R(E') - \ln R(E)]}{E^2 - E'^2} dE' \quad (3-8b)$$

where

$$E = \hbar\omega$$

$2\pi\hbar$  = Planck's constant.

Constants  $n$  and  $k$  can be obtained from  $R$  and  $\theta$  by the following relations:

$$n = \frac{1-R}{1+R-2\sqrt{R}\cos\theta} \quad (3-9a)$$

$$k = \frac{2\sqrt{R}\sin\theta}{1+R-2\sqrt{R}\cos\theta} \quad (3-9b)$$

If the function  $R(E)$  is known over the entire spectral region, then from Eq. (3-8b)  $\theta(E)$  can be calculated for all energies. With  $R$  and  $\theta$ , Eqs. (3-9a) and (3-9b) will give us  $n$  and  $k$ , and ultimately  $\epsilon_1$  and  $\epsilon_2$ . The above method of obtaining the optical constants is frequently referred to as the Kramers-Kronig analysis.

We should point out that Eqs. (3-9a) and (3-9b) are derived for solids of sufficient thickness such that reflection from the rear surface is negligible (i.e., for  $e^{\alpha t} >> 4$ ). \* For a sample where the above condition is not valid, the expressions for  $R$  and  $T$  in terms of the optical constants  $n$  and  $k$  become too complicated to be inverted in closed forms (refer to Eqs. (3-3a) and (3-3b)). It will, then, no longer be feasible to obtain the optical constants of the sample by Kramers-Kronig analysis. In the next section, we will present a detailed discussion of this analysis.

---

\* Thus  $R(E)$  should actually be labelled as  $R_\infty(E)$ ; however, it is clear from the context.

### 3. Kramers-Kronig Analysis

Equation (3-8a) can be rewritten as (3):

$$\theta(\omega) = -\frac{1}{2\pi} \int_0^\infty \ln R(\omega') \frac{d}{d\omega'} \ln \left| \frac{\omega' - \omega}{\omega' + \omega} \right| d\omega' \quad (3-10a)$$

If we integrate Eq. (3-10a) by parts we obtain (3, 9)

$$\begin{aligned} \theta(\omega) = & -\frac{1}{2\pi} \left[ \ln R(\omega') \ln \left| \frac{\omega' - \omega}{\omega' + \omega} \right| \right]_0^\infty \\ & + \frac{1}{2\pi} \int_0^\infty \frac{d}{d\omega'} [\ln R(\omega')] \ln \left| \frac{\omega' - \omega}{\omega' + \omega} \right| d\omega' \end{aligned} \quad (3-10b)$$

The first term in this equation is zero at  $\omega' = 0$  and  $\infty$ . The phase angle  $\theta$  is then given by the integral over  $\frac{d \ln R(\omega')}{d\omega'}$  which is multiplied by a weighing function that peaks sharply at  $\omega' = \omega$  and approaches zero at frequencies far from  $\omega$ . Therefore, the derivative of  $\ln R$  near  $\omega$  influences the value  $\theta(\omega)$  much more than that of  $\ln R$  at remote points on the frequency scale. In practice, since  $R$  is measured only in a limited range of frequencies, errors are introduced in the calculation of  $\theta$  and hence in  $n$  and  $k$ ; these errors arise from the extrapolation of  $R(\omega')$  beyond the range of measurements. From Eq. (3-10b), it can be seen that these errors are tolerably small if  $\omega'$  is well removed from the end points of the measured range. In the case  $\frac{1}{R} \frac{dR}{d\omega'} \approx 0$  outside the measured region, then the extrapolation errors in the Kramers-Kronig analysis become very small over the entire

measured region. In most optical spectra, however, the reflectivity is generally still varying at the highest frequencies used in the measurement. We, therefore, have to extrapolate the measured reflectivity in a sensible way which will minimize errors.

In extrapolation, the chief difficulty is extrapolation on the high energy end of the reflectivity spectrum. This is due to the fact that, in metals, the reflectivity at low energies can be assumed to go to 1.0 as  $\omega \rightarrow 0$ . Similarly in the case of a semiconductor, the reflectivity at  $\omega \rightarrow 0$  can generally be calculated using the static dielectric constant of the material.

There are a few extrapolation procedures that are commonly used. One approach is to extrapolate  $R(\omega)$  to higher frequencies using the formula (10)

$$R(\omega) = R_1 \left( \frac{\omega_1}{\omega} \right)^p \quad (3-11)$$

where

$\omega_1$  = upper frequency limit of measurement, and

$R_1$  = reflectivity at  $\omega = \omega_1$ .

The parameter  $p$  is varied in order to obtain values of  $n$  and  $k$  that agree best with the experimental  $n$  and  $k$  at low energies in the range of measurement. Another method of extrapolating  $R(\omega)$  to higher energies is to assume:

$$R(\omega) = R_1 e^{\beta(\omega_1 - \omega)} \quad (3-12)$$

where  $\beta$  is taken to fit the measured derivative of  $R(\omega)$  at  $\omega = \omega_1$  (11). Here, the integration range must be cut off at a certain frequency,  $\omega_2$ , in order to avoid divergence of the integral in Eq. (3-8a).  $\omega_2$  is again chosen so that Kramers-Kronig analysis gives the constants  $n$  and  $k$  which will fit some experimental  $n$  and  $k$  at low energies. There are other methods, such as the one that uses damped harmonic oscillators, to extrapolate the reflectivity spectrum in the high energy region. The parameters of these oscillators are adjusted to give values of  $n$  and  $k$  which are comparable to experimental  $n$  and  $k$  at certain energies.

In addition to the errors introduced by the extrapolation, we can have large errors in the optical constants from the inaccuracies of experimental measurements. From Eq. (3-8a), the value of  $\theta(\omega)$  depends on the natural logarithm of  $R(\omega)$ . The natural logarithm of a function whose values are equal to or smaller than one is a rapidly varying function. The logarithm of  $R(\omega)$  is such a function. In fact, the smaller the value of  $R(\omega)$  gets, the more sensitive  $\theta(\omega)$  becomes to the experimental errors in  $R(\omega)$ .

Furthermore, judging from Eq. (3-2a), when  $k$  is small, and especially when  $k \ll n$ , then  $R$  is nearly independent of  $k$ . Therefore, in such a region, reflectivity data cannot yield accurate values of  $k$ , and the values of  $k$  depend on the reflectivity spectrum outside the region where  $k$  is small. The extrapolation of the reflectivity spectrum then becomes critical.

#### 4. Oscillator Fit Method

To comprehend the oscillator fit method, we need first to understand why it is reasonable to express the dielectric constant of a solid in terms of oscillators. In general, the complex dielectric constant of a solid can be divided into four terms, three of which are expressed as sums of damped harmonic oscillator terms and the fourth is a Drude term. At this point, we are interested only in the first three terms. Two of the three terms represent contributions from the excitations of transverse optical phonons, and from the electronic transitions from bands below the valence band to the conduction bands. These contributions to the dielectric constant have been shown to be adequately represented by sums of oscillators (12, 13). The third term represents the contribution from electronic transitions from the valence band to the conduction bands. The contribution from these transitions to the dielectric constant is often expressed as follows (13):

$$\epsilon(\omega) \approx 1 + \frac{4\pi e^2}{m} \int \frac{f(\omega') N_\alpha(\omega') d\omega'}{(\omega'^2 - \omega^2) - \frac{i\omega}{\tau(\omega')}} \quad (3-13)$$

where

$N(\omega')$  = the density of valence band states separated by an energy  $\hbar\omega$  from conduction band states.

$f(\omega')$  = oscillator strength, and

$\tau(\omega')$  = relaxation time.

But if the transitions are between narrow bands, or in the limit between atomic levels, than  $N_\alpha(\omega')$  can be approximated by a sum of delta functions, and Eq. (3-13) is reduced to a sum of oscillators, with

each transition from the valence band to a conduction band approximated by a damped harmonic oscillator.

When the bands involved in the transitions are no longer narrow, then the contribution to the complex dielectric constant from each transition from the valence band to a conduction band usually cannot be expressed in terms of a single damped oscillator; but a sum of oscillators has to be used. The reason for using a sum of oscillators can be explained by referring to Eq. (3-13). The integrand in the second term of that equation is in the form of a damped harmonic oscillator term. From calculus, this integral can be approximated by a sum of oscillators at discrete frequencies.

It must be remembered, however, that when the bands are narrow, the oscillator used has a one to one correspondence with the transition between the bands, but when the bands are not narrow, it is no longer correct to identify one oscillator with a particular transition; in fact, several oscillators may together represent a single transition.

Since different sets of oscillators can be chosen to give rise to the same contribution to the complex dielectric constant, the loss of physical significance of the parameters of these oscillators is obvious. In an oscillator fit method, the complex dielectric constant of a solid where the free electron contribution is negligible can be adequately represented as follows:

$$\epsilon(\omega) = \epsilon_1(\omega) + i\epsilon_2(\omega) = 1 + \sum_i \frac{S_i}{1 - \frac{\omega^2}{\omega_i^2} - i\Gamma_i(\frac{\omega}{\omega_i})} \quad (3-14a)$$

where

$S_i$  = parameter associated with the oscillator strength of the  $i^{\text{th}}$  oscillator

$\Gamma_i$  = linewidth of the  $i^{\text{th}}$  oscillator

$\omega_i$  = resonance frequency of the  $i^{\text{th}}$  oscillator.

If we are interested in an optical spectrum within a limited spectral range, as is usually the case, the contribution of the oscillators whose resonance frequencies are far from the range of frequency under examination is then reduced to a sum of their respective oscillator strengths — this is evident by inspecting the form of Eq. (3-14a). Equation (3-14a) can then be reduced to

$$\epsilon(\omega) = \epsilon_{\infty} + \sum_{i=1}^{N} \frac{S_i}{1 - \left( \frac{\omega}{\omega_i} \right)^2 - i \Gamma_i \left( \frac{\omega}{\omega_i} \right)} \quad (3-14b)$$

where

$\epsilon_{\infty}$  = 1 + contributions to  $\epsilon(\omega)$  from oscillators far from the spectral range of interest in the frequency scale, and

$N$  = the number of oscillators required to give an adequate representation of the dielectric constant in the spectral range of interest.

The reflectivity of the solid can then be derived from the dielectric constant. For a solid of sufficient thickness such that  $e^{\alpha t} \gg 4$ , Eq. (3-2b) can be rewritten as follows:

$$R_{\infty}(\omega) = \left| \frac{\sqrt{\epsilon(\omega)} - 1}{\sqrt{\epsilon(\omega)} + 1} \right|^2 \quad (3-15)$$

Though we have shown that, in theory, we can always express the complex dielectric constant of a solid in terms of a sum of oscillators, in practice, we find that we cannot use an unlimited number of oscillators in our oscillator fit method because of computational limitations. The computational time required to get a good fit to a reflectivity spectrum using a large number of oscillators (say, 10) is very long (after more than 30 minutes); this proves to be a drawback of the method. Further discussion of this point will be presented in Chapter IV when we discuss the optical results.

We will, now, consider a special case where the reflectivity spectrum of a solid is in the spectral range where the optical phonon excitations are important. As we have discussed earlier, the representation of the complex dielectric constant of such a solid can be adequately expressed as a sum of damped harmonic oscillators. The parameters of the fitted oscillators usually provide us with some idea of the strength, frequency and relaxation time of each transverse optical phonon mode which is excited by the incident radiation. This technique has been used successfully by several authors to obtain the parameters of optical phonon modes in various solids (14).

Verleur (15), using Eq. (3-14b), fitted a reflectivity spectrum of silicon from 0.5 to 10 eV with six oscillators. He, then, used the derived parameters of the oscillators that gave a good fit to the measured spectrum to calculate optical constants  $n$  and  $k$  and found them in good agreement with those values obtained by Phillip and Taft who used a Kramers-Kronig analysis (16).

Where a crystal becomes transparent, that is when  $e^{\alpha t} < 4$ , or when thin transparent films are involved, Eqs. (3-9a) and (3-9b) are no longer valid, and the expressions for  $R$  and  $T$  in terms of  $n$  and  $k$  become too complicated to be inverted in closed forms. Kramers-Kronig analysis is no longer feasible. To obtain the optical constants in these cases, two quantities, such as the transmission of two films (TT) of different thickness or the reflectivity and transmission of the same film (RT), are measured at each frequency. In all cases, the thickness is determined by other means. The RT method has its disadvantages; Grant and Paul (17) have shown that small experimental errors in some wavelength regions, especially where  $n^2 - k^2 \approx 1$  can lead to large inaccuracies in the calculated optical constants.

Grant (42) and Nillson (18) found that the TT method would not run into the same trouble as the RT method when  $n^2 - k^2 \approx 1$ . However, they found that considerable errors in the values of the optical constants could result from the TT method, unless the thicknesses of the two films were carefully chosen. For example, Grant (42) showed that for germanium films in the spectral range between  $0.2\mu$  and  $0.6\mu$  reasonably accurate values of the optical constants could be obtained if the thicknesses of the two films were  $100 \text{ \AA}^o$  and  $300/400 \text{ \AA}^o$ . For some other combinations, say,  $50 \text{ \AA}^o$  and  $100 \text{ \AA}^o$ , large errors in the optical constants would result,

Verleur (15) adopted the oscillator fit method to obtain optical constants from the transmission and reflectivity spectra of thin films. Equation (3-15) is, of course, not applicable for thin films. Verleur then used the appropriate formulae for  $R$  and  $T$  (15) which contain the

known optical constants of the substrate in addition to the unknown  $\epsilon_1$  and  $\epsilon_2$  of the film. Thus R and T can still be fitted using Eq. (3-14b). To compare his method with the RT method, he fitted the transmission spectrum of a germanium film reported by Grant and Paul (17), and obtained optical constants which were closer to those of bulk crystals than those obtained by Grant and Paul using the RT method. Figure III-1 shows that the optical constants n, and k obtained by Verleur using the oscillator fit method and the constants obtained by Grant and Paul using the RT method. In the region where  $n^2 - k^2 \approx 1$ , the RT method (as indicated by Grant and Paul), cannot give accurate values of n and k while the oscillator fit method is not subjected to this limitation.

Verleur, Barker and Berglund (19) extended this technique to obtain the optical constants of thin films and crystals of  $\text{VO}_2$ . For the insulating state of  $\text{VO}_2$ , they used Eq. (3-14b); for the metallic state of  $\text{VO}_2$ , they added a free electron Drude term to Eq. (3-14b), resulting in the following:

$$\epsilon(\omega) = \epsilon_{\infty} - \frac{\omega_n^2}{\omega^2 + i\omega_c \omega} + \sum_{i=1}^N \frac{s_i}{1 - (\frac{\omega}{\omega_i})^2 - i\Gamma_i \frac{\omega}{\omega_i}} \quad (3-16)$$

where

$$\omega_n = \left( \frac{4\pi n_c e^2}{m^*} \right)^{1/2}$$

$$\omega_c = \frac{e}{\mu_{\text{opt.}} m^*}$$

$n_c$  = concentration of conduction carriers of optical mobility  $\mu_{\text{opt.}}$  and optical effective mass  $m^*$ .

The method has since been used by others to obtain the optical constants of bulk crystals and thin films of various kind of material in the spectral region where interband electronic transitions are important (20, 21, 22, 23).

In summary, let us list, and amplify on where necessary, the advantages and disadvantages of the oscillator fit method as compared to the Kramers-Kronig analysis.

Advantages. 1) In Kramers-Kronig analysis, extrapolation is often needed and different methods of extrapolation have been used in earlier studies (10, 11). The values of the optical constants in the spectral range of interest usually depend on the parameters used in the extrapolation procedures. In practice, the extrapolation parameters have to be adjusted so that the calculated optical constants, at some frequencies inside the spectral region, will fit some known optical constants obtained by other means. In the oscillator fit method, however, extrapolation (strictly speaking, it is not extrapolation in the sense used in Kramers-Kronig analysis) is usually not required unless it is necessary to give a reasonable fit to an optical spectrum in the spectral range of interest. Extrapolation, if needed, is achieved by assigning oscillators outside the spectral range of interest, and the parameters of the assigned oscillators are automatically adjusted in the oscillator fit method so that an adequate fit is obtained in the range of interest. Thus, in the oscillator fit method, no prior knowledge of the values of optical constants in the spectral range of interest is needed. The resultant

optical constants are, however, still subject to some uncertainties.

We will discuss them on p. III-19, and again in Chapter IV.

2) As mentioned earlier, the oscillator fit method enables us to obtain the optical constants of the transparent crystals and films; this is not feasible using the Kramers-Kronig analysis. And the RT and TT techniques, which are frequently used in evaluating the optical constants of thin films, may, in some instances, fail to give accurate values of optical constants. The oscillator fit method, in these instances, may well be superior to the RT and TT method.

3) In regions where Reststrahlen effects are dominant, or where electronic excitations are between narrow bands or atomic levels, this method will give us directly their frequency, oscillator strength and relaxation time.

4) Referring to Eq. (3-16), the oscillator fit method will provide us with the parameters of the free electron absorption. From these parameters, the optical effective mass and optical mobility of the conduction electrons can be obtained, provided that the concentration of the conduction electrons is known. In Kramers-Kronig analysis, this is, not directly possible.

Disadvantages. 1) The oscillator fit method usually requires more computational time than does the Kramers-Kronig analysis. Numerical analysis and programming procedures are much more complicated.

2) When an absorption spectrum of a solid is very assymetrical, as in the case of an absorption edge, or is due to electronic transitions

between broad bands, it may require a substantial number of oscillators to adequately fit the absorption spectrum, and the length of computational time required becomes a serious factor.

3) In the oscillator fit method, the curve fitting procedure is usually provided by a nonlinear minimization technique, which has one problem, viz., convergence often occurs at a point other than the absolute minimum. Though this problem is not serious since we are interested only in the resultant dielectric constant and not in the parameters of the oscillators, sometimes a convergence may occur that leads to a poor fit and, in some cases, small structures in the optical reflectivity or transmission spectrum may not be fitted well during the fitting procedure. As long as an adequate fit is obtained, however, reasonable optical constants can be obtained.

##### 5. Angular Dependence and Other Techniques of Determining Optical Constants

There are other techniques for obtaining optical constants of opaque solids where  $e^{\alpha t} \gg 4$ . In this section, we are interested only in crystals that satisfy this condition. When a light beam, whose electric field is polarized either perpendicular or parallel to the plane of incidence, is incident on a solid at different angles of incidence, the reflected intensity of the beam is described by either Eq. (3-5a) or (3-5b). Since we have two unknowns,  $n$  and  $k$ , we need only two independent measurements to determine them; and judging from Eqs. (3-5a) and (3-5b), several choices of these measurements are possible. One way — sometimes called the angular dependence technique — is to measure the

reflected intensity,  $R_n$  or  $R_p$ , of the solid at two different angles of incidence (6, 24). Another way is to measure both  $R_n$  and  $R_p$  at one angle of incidence (25). Yet a third way is to determine the ratio of  $R_n/R_p$  for two angles of incidence (26). In still another technique, ellipsometry, the optical constants of a solid can be obtained by measuring changes in the state of polarization of light upon reflection from the surface of the solid (27).

The above methods show that it is possible to obtain values of  $n$  and  $k$  of an opaque solid directly without resorting to the indirect techniques of Kramers-Kronig analysis and oscillator fit. Although it is not always feasible to use these direct techniques to obtain the optical constants in a wide spectral range because of the lack of appropriate instruments, it is quite feasible to use them to find values of  $n$  and  $k$  at some particular frequencies in the spectral range of interest. By requiring the measured values of  $n$  and  $k$  at these particular frequencies to fit the calculated values of  $n$  and  $k$  obtained by the Kramers-Kronig analysis or the oscillator fit technique, extrapolation uncertainties in both techniques can be greatly reduced.

We determined the  $n$  and  $k$  values of some of our crystals by measuring the angular dependence of the reflected intensity of these crystals as a function of the incidence angle  $\phi$  at different frequencies, which were provided by a helium-neon laser and an argon-ion laser. Light polarized in the plane of incidence was used because the reflected intensity of a solid for light polarized perpendicular to the plane of incidence usually did not vary with  $\phi$  as much as for light polarized in the plane of incidence (6).

Since there were two unknowns,  $n$  and  $k$ , only two measurements of  $R_p$  at two different angles of incidence were actually required to determine them (see Eq. (3-5b)). However, in order to minimize the experimental errors in  $R_p$  which could lead to substantial errors in  $n$  and  $k$  (6), we usually measured the  $R_p$  of each crystal at more than ten different angles of incidence  $\phi$  and used an automatic curve fitting procedure to obtain values of  $n$  and  $k$  that would give a calculated  $R_p$  versus  $\phi$  curve that would fit well with the experimental curve.

#### 6. Discussion

The theories and methods of determining the optical constants of a solid are based on several assumptions; aside from those generally valid for dispersion relations, they include the following: 1) that the solid is optically isotropic (a solid which is isotropic or cubic in crystal symmetry), 2) that the solid is non-optically active (a solid which does not rotate the polarization of an incident light on passing through it), 3) that the solid possesses no net charges, and 4) that the local field effects in the solid are negligible. The formulation of the optical properties of solids for which the latter three assumptions are not applicable is very complicated and, in general, not necessary for common solids, and therefore will not be discussed here.

We will, however, briefly describe the optical constants of an optically non-isotropic solid since the crystals we have investigated are all non-cubic. The optical constants of such solids are usually not scalars, and the real and imaginary parts of the complex dielectric

constants become second-rank tensor quantities. It is known that a second-rank tensor can always be diagonalized by judiciously choosing three mutually orthogonal principal axes. In a crystal which belongs to one of the following crystal symmetry classes: tetragonal, hexagonal, trigonal and orthorhombic — the principal axes are along the crystallographic axes of the crystal for all wavelengths and the real and imaginary parts of its complex dielectric constant share the same set of principal axes. Therefore, if optical reflectivity  $R$  or transmission  $T$  measurements are made with the incident electric field polarized along any one of the principal axes, the values of  $n$  and  $k$  or  $\epsilon_1$  and  $\epsilon_2$ , obtained from the  $R$  or  $T$  spectrum using the Kramers-Kronig analysis or the oscillator fit method, will give us the optical constants along this particular axis. If these measurements are made along each of the three principal axes in the solid, we will then obtain the components of the dielectric constant tensor along those axes, and hence, the complex dielectric constant tensor for the solid can be determined. If, however, for some reason, the electric field of the incident radiation is either unpolarized or not along any of the principal axes, then the optical constants obtained will be a superposition of those components of the dielectric tensor along those principal axes on which the incident radiation have effects.

When the materials being investigated are either crystals which belong to the monoclinic or triclinic crystal symmetry classes, or thin films which are non-cubic in nature and are not epitaxial, amorphous, or perfectly polycrystalline, the choice of the principal axes for the

real and imaginary parts of the dielectric constants becomes very difficult, if not impossible. In monoclinic and triclinic crystals, even if the principal axes can be found, they will usually vary with the wavelengths of the incident radiation and the set of principal axes for the real part usually will not coincide with that for the imaginary part of the dielectric constant (3). Therefore, in general practice, when optical reflectivity and transmission measurements are done on one of these materials, either with the electric field along one of the crystallographic axes or with unpolarized light, the optical constants derived from the Kramers-Kronig analysis or the oscillator fit method should be interpreted as constants that will give us the measured values of reflectivity or transmission when used in the appropriate equations, and thus this fact must be given careful consideration, if these derived constants are used to compare with those calculated from band structures or any such methods.

In our optical investigations of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$ , the crystals transformed, respectively, from monoclinic to tetragonal structure at  $\sim 340^\circ\text{K}$ , and from monoclinic to corundum structure (almost hexagonal) at  $\sim 150^\circ\text{K}$ , with increasing temperature. If the electric field polarization of the incident radiation is aligned along one of the principal axes of these crystals in its high temperature state (either along c- or a-axis in crystals with the tetragonal or hexagonal symmetry), then the electric field will usually not be polarized along any of the principal axes in the low temperature monoclinic state, thus making polarization studies on

this class of materials difficult and hardly fruitful. Because of this and the limited availability of crystals with large physical dimensions, we have not concentrated on studies of polarization effects on the optical properties of solids. Also, it has turned out that at room temperature, in  $V_2O_3$  crystals and  $V_2O_3$  crystals doped with chromium, no significant optical anisotropy was observed in the spectral range of our interest, and hence, the polarization effects on their optical properties are not important.

#### B. Numerical Analysis and Programming Techniques

In this section, we will describe some of the characteristics of our computer programs for Kramers-Kronig, oscillator fit, and angular dependence analyses.

##### 1. Kramers-Kronig Analysis

For the Kramers-Kronig Analysis, Eqs. (3-8b), (3-9a) and (3-9b) were used. The computer program, similar to the one used by Rossi (28), computed the integrand in Eq. (3-8b) at each discrete photon energy for which the measured reflectivity value was available. The integral was then approximated by multiplying the average value of the integrand between each adjacent pair of energies by the difference  $\Delta E$  between the energies, and then summing the results (trapezoidal rule). The integral between the two energies adjacent to the energy where  $E = E'$  was taken as the average of the integrand at the two adjacent energies times the energy difference.

Above the energy  $E_{\max}$  where the reflectivity data were not available, the reflectivity spectrum was approximated by  $R_{\max} \left(\frac{E_{\max}}{E}\right)^p$  (see Eq. (3-11)) where  $R_{\max}$  was the value of reflectivity at  $E_{\max}$  and  $p$  was an adjustable parameter. The integration of the phase integral from  $E_{\max}$  to  $\infty$  was:

$$\frac{1}{2\pi} \ln \frac{R(E)}{R(E_{\max})} \ln \left| \frac{E_{\max} + E}{E_{\max} - E} \right| + \frac{p}{\pi} \sum_n (2n+1)^{-2} \left( \frac{E}{E_{\max}} \right)^{2n+1}$$

This sum was computed to 50 terms in the program.

The values of  $p$  were varied from 0.0 to 5.0 by increments of 0.1, and the usual procedure, where applicable, was to print out and plot the optical constants  $n$ ,  $k$ ,  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  only when a certain  $p$  gave values of  $n$  and  $k$  at some energies which were within  $\pm 5\%$  of those values obtained by the angular dependence measurements (to be discussed later).

A complete Fortran listing of the program is given on p. A-1 to A-5.

## 2. Oscillator Fit Method

The oscillator expressions we used in our analysis were Eq. (3-14b) for semiconductors and Eq. (3-16) for metals. They were rewritten in terms of the photon energies and expressed as follows:

(for semiconductors)

$$\epsilon(E) = \epsilon_{\infty} + \sum_{i=1}^N \frac{s_i}{1 - \left(\frac{E}{E_i}\right)^2 - i \Gamma_i \left(\frac{E}{E_i}\right)} \quad (3-17a)$$

(for metals)

$$\epsilon(E) = \epsilon_{\infty} - \frac{E_n^2}{E^2 + iE_c E} + \sum_{i=1}^N \frac{S_i}{1 - (\frac{E}{E_i})^2 - i \Gamma_i (\frac{E}{E_i})} \quad (3-17b)$$

where  $E = \hbar\omega$  and  $2\pi\hbar =$  Planck's Constant.

The actual procedure of fitting a measured optical spectrum, in our case, the reflectivity spectrum of a bulk crystal, consisted of a guess at the number of oscillators needed, the parameters of these oscillators, the parameters for the Drude's term, and  $\epsilon_{\infty}$ . The reflectivity of the crystal was then calculated by Eqs. (3-15) which was rewritten as follows:

$$R_{\text{cal}}(E) = \left| \frac{[\epsilon(E)]^{1/2} - 1}{[\epsilon(E)]^{1/2} + 1} \right|^2 \quad (3-18)$$

The parameters were adjusted until an adequate fit of the calculated reflectivity  $R_{\text{cal}}(E)$  to  $R_{\text{exp}}(E)$  was obtained over the spectral range of interest. Unless an automatic fitting procedure is adopted, obtaining the optical constants by this method is a formidable task.

Minimization of a nonlinear function of many independent variables is a problem of great difficulty. There are a few methods that have been used, such as nonlinear least-square fit and the steepest descent method, which were used by Rivery (22). However, it is frequently very laborious, if not practically impossible, to calculate the gradients of the function to be minimized, which is necessary for the above two methods. In addition, programming techniques become difficult.

Therefore, there are considerable advantages in using minimization procedures that do not require the derivatives of the function to be minimized. A few procedures are indeed available and they include the simplex pattern search method (29, 30), the method proposed by Powell (31), and the method proposed by Peckham (32). We will not discuss the advantages and disadvantages of each of these methods. It is sufficient to point out that Eq. (3-17a, b) are very complex, and that the derivatives of these equations are even more so. We chose to use the simplex method for our fitting procedure since the simplex method is computationally very compact, and a great majority of its instructions are additions and subtractions or logical orders. There are a few multiplications, but no divisions at all except on entering and leaving the computational routine. The method may take a little longer computational time than other methods such as the steepest descent method, but the easy definition of the problem and the programming convenience more than compensate for this possible disadvantage. We should point out that Scouler and Raccah independently developed their oscillator fit procedure also using the simplex method (23).

The general concept of the simplex method to minimize a function of  $n$  variables (henceforth referred to as objective function) is to set up a simplex of  $(n+1)$  vertices, that is, to select  $(n+1)$  points in the space of  $n$  variables and to calculate the values of the function at selected points. Then, by comparing the calculated values of the objective function at those points, the vertex with the highest value (the

worst point in minimization) is replaced by another point with a lower value of the objective function, which in turn is determined according to certain systematic operations (to be described later). This method forces the objective function to approach the minimum by, at each step of the operation, discarding the worst point of a simplex and adopting a better point for a new simplex. This procedure is repeated until the minimum is achieved.

Figure III-2 shows a flowchart of the simplex method we used (30). A brief description of the procedure follows: we consider initially, the minimization of a function of  $n$  variables  $(x_1, \dots, x_n)$  without any constraints.  $P_0, P_1, \dots, P_n$  are the  $(n+1)$  points in the  $n$ -dimensional space that define the current simplex. Let  $y_i$  be the functional value at  $P_i$ , and  $h$  and  $\ell$  be the suffices such that

$$y_h = \max_i (y_i) \quad (h = \text{high})$$

$$y_\ell = \min_i (y_i) \quad (\ell = \text{low})$$

We then define  $\bar{P}$  as the centroid of the points with  $i \neq h$ , and  $(P_i P_j)$  for the distance from  $P_i$  to  $P_j$ . At each stage in the minimization process,  $P_h$  is replaced by a new point; three operations are used — reflection, contraction and expansion. These operations are defined as follows: the reflection of  $P_h$  is denoted by  $P^*$ , and its coordinate are defined by the relations:

$$P^* = (1 + \alpha) \bar{P} - \alpha P_h \quad (3-19a)$$

where  $\alpha$ , the reflection coefficient, is a positive constant.

Thus,  $P^*$  is on the line joining  $P_h$  and  $\bar{P}$ , on the far side of  $\bar{P}$  from  $\bar{P}_h$  with  $(P^*\bar{P}) = \alpha(P_h\bar{P})$ . If  $y^*$  lies between  $y_h$  and  $y_\ell$ , then  $P_h$  is replaced by  $P^*$  and we start again with the new simplex.

If  $y^* < y_i$ , that is, if the reflection has produced a minimum, then we expand  $P^*$  to  $P^{**}$  by

$$P^{**} = \gamma P^* + (1 - \gamma) \bar{P} \quad (3-19b)$$

where  $\gamma$ , the expansion coefficient, is the ratio of the distance  $(P^{**}\bar{P})$  to  $(P^*\bar{P})$  and is usually greater than unity. If  $y^* < y_\ell$ , we replace  $P_h$  by  $P^{**}$  and restart the process. However, if  $y^{**} > y_\ell$ , then we have a "failed" expansion, and we replace  $P_h$  by  $P^*$  before restarting.

If on reflecting  $P$  to  $P^*$  we find that  $y^* > y_i$  for all  $i \neq h$ , that is replacing  $P$  by  $P^*$  leaves  $y^*$  the maximum, then we define a new  $P_h$  to be either the old  $P_h$  or  $P^*$ , whichever has the lower  $y$  value and form

$$P^{**} = \beta P_h + (1 - \beta) \bar{P} \quad (3-19c)$$

where  $\beta$ , the contraction coefficient, is the ratio of the distance  $(P^{**}\bar{P})$  to  $(P\bar{P})$  and lies between 0 to 1. We then accept  $P^{**}$  for  $P_h$  and restart the process, unless  $y^{**} > \min(y_h, y^*)$ , that is, the contracted point is worse than the better of  $P_h$  and  $P^*$ . For such a "failed" contraction, we replace all the  $P_i$ 's by  $(P_i + P_\ell)/2$  and restart the process.

In Eqs. (3-17a and b), none of the parameters, from physical arguments, should be zero or negative. This constraint is incorporated into our minimization procedure by the following method. At any stage

during the operation, when one or more of the parameters becomes zero or negative, the functional value of the objective function is replaced by a large positive value. If we investigate the flowchart carefully, the designated large positive value effectively forms a barrier such that any trespassing by the simplex will be followed automatically by contraction moves which will eventually keep the simplex inside the confine.

A final point about the general concept of the simplex method concerns the criterion used for halting the procedure. The criterion chosen is to compare the "standard error" of the  $y$ 's in the form

$$\sqrt{\frac{\sum_i (y_i - \bar{y})^2}{n}} < c_1 \quad (3-20)$$

where

$c_1$  is a preassigned constant,

$\bar{y}$  is the average of all  $y_i$ 's, and

$n$  is the number of variables.

When the standard error falls below  $c_1$ , the fitting procedure stops.

The reasoning behind this criterion is that in the curve fitting problem, we are not so interested in finding the exact values of  $x_i$ 's, but in obtaining the minimum that gives us a good fit between the calculated and experimental curves.

We will now concentrate on the specific characteristics of our curve fitting procedure. The objective function to be minimized is

$$y = \sum_{j=1}^K \left[ 1 - \frac{R_{\text{exp}}(E_j)}{R_{\text{cal}}(E_j)} \right]^2 \quad (3-21a)$$

where  $j = 1, \dots, K$  (the number of input data points),

$R_{\text{exp}}(E_j)$  = the experimental value of reflectivity at  $E_j$ ,

$R_{\text{cal}}(E_j)$  = the calculated value of reflectivity from Eq. (3-18) and either Eq. (3-17a or 3-17b).

The  $(n+1)$  points in the simplex are selected by the following procedure. Judging from a given reflectivity spectrum to be fitted, we estimated, initially, the number of oscillators required and the values of the parameters needed (the number of variables total to  $n$ , say). This gives us one point in the  $n$ -dimensional space. The other  $n$  points are set up in the space by systematically adding to the value of each parameter 0.1 one at a time, for  $n$  times. This gives the  $(n+1)$  points in the space clustering around the initial point, and the pattern search begins with the initial simplex.

The values of the coefficients  $\alpha$ ,  $\beta$  and  $\gamma$  in Eqs. (3-19a, b, and c) were chosen as suggested by Nelder and Mead (30) to be

$$\alpha = 1.0$$

$$\beta = 0.5$$

$$\gamma = 2.0$$

The large positive constant used as a constraining barrier was set to be  $10^{49}$ . The constant  $c_1$  in Eq. (3-20) was chosen to be  $10^{-6}$ ,

which would give us a reasonable fit. For cases where we have obtained optical constants  $n$  and  $k$  by the angular dependence method, the objective function  $y$  in Eq. (3-21a) is modified to

$$y = \sum_{j=1}^K \left\{ \left( 1 - \frac{R_{\text{exp}}(E_j)}{R_{\text{cal}}(E_j)} \right)^2 * c_2 + \sum_{m_i=1, \dots, l} \left[ \left( 1 - \frac{k_{\text{exp}}(E'_{m_i})}{k_{\text{cal}}(E'_{m_i})} \right)^2 + \left( 1 - \frac{n_{\text{exp}}(E'_{m_i})}{n_{\text{cal}}(E'_{m_i})} \right)^2 \right] \right\} \quad (3-21a)$$

where

$E'_{m_i}$  = photon energy at which  $n$  and  $k$  values are known

$m_l$  = number of known  $k$  or  $n$  values; in our program,  $m_l = 2$ .

$c_2$  = weighing constraint; in our program, we set it at 4.0,

suffice cal = calculated value from Eq. (3-18) and either Eq. (3-17a) or (3-17b),

suffix exp = experimental value.

Typically from a given reflectivity spectrum, we guessed the number of oscillators required, and the values of the parameters. The initial guess can be quite poor. If the initial guess is very poor, Eq. (3-20) usually will not be satisfactory after  $\sim 25$  minutes on the SDS Sigma 7 computer. An adjustment of the parameters will generally provide us with a reasonable fit that will satisfy Eq. (3-20) within 25 minutes, unless the number of oscillators chosen was too few. If the number of oscillators chosen are too few, then even if Eq. (3-20) is satisfied within 25 minutes, we will obtain a theoretical reflectivity curve that does not have all the fine structures of the experimental curve.

However, when too many oscillators are assigned, one of the oscillators will have its parameters approaching zero, and we will then discard the oscillator. In general, the final values of these adjustable oscillators parameters are dependent on their initial values. The final optical constants are, however, quite independent of the initial set, and this is not too surprising in view of the discussions we presented earlier. Some initial sets give better fits than others, and we usually selected a set that gave the best fit — that is, the set of parameters that gave us the smallest value of the objective function  $y$  — to the experimental values from a number of runs using different initial values. We, however, noticed that the parameters of the Drude's term was not very sensitive to their initial guesses and that the resultant were usually within 20% of each other from runs that give good fits to the experimental curve.

Finally, as in most curve fitting problems, the selection of the points of a spectrum are quite important. Data points should be selected with proper care to reflect the important features of the reflectivity spectra.

In conclusion, the oscillator fit method by the simplex pattern search method is quite straightforward, and after a few trial runs, a reasonable fit is often obtained.

A complete Fortran listing is given on p. B-6 to B-16, for fitting a reflectivity curve of  $V_2O_3$  at  $300^{\circ}K$  (the optical constants are reported in Chapter IV).

### 3. Angular Dependence Method

The automatic curve fitting computer program was written by Raccah and Landon (34) at MIT Lincoln Laboratory. The same simplex pattern search method as the one we used in the oscillator fit method was used in the minimization of the objective function.

$$y = \sum_{j=1}^K \left( 1 - \frac{R_{P_{\text{exp}}} [\phi_j]}{R_{P_{\text{cal}}} [\phi_j]} \right)^2 \quad (3-22)$$

where  $j = 1, \dots, K$  (the number of input data points)

$R_{P_{\text{exp}}} (\phi_j)$  = the experimental value of the reflected intensity at  $\phi_j$

$R_{P_{\text{cal}}} (\phi_j)$  = the value of the reflected intensity at  $\phi_j$  calculated from Eq. (3-5b).

The parameters used in the simplex pattern method were slightly different from those we used in the oscillator fit method, but the basic operation remains the same.

The coefficients in Eqs. (3-19a, b, c) were:

$$\alpha = 1.1$$

$$\beta = 0.51$$

$$\gamma = 3.0$$

The criterion used in halting the fitting procedure was in the form

$$\left| \frac{y_h - y_\ell}{y_h} \right| < 10^{-4} \quad (3-23)$$

where

$$y_h = \max_i (y_i)$$

$$y_\ell = \min_i (y_i)$$

which, though slightly different from Eq. (3-20), is basically very similar. Since there were only two parameters  $n$  and  $k$  to be adjusted, in contrast to the many parameters used in the oscillator fit method, Eq. (3-23) was usually satisfied in less than half a minute on an IBM Model 67 computer. The results of the angular dependence measurements are presented in Chapter IV.

### C. Experimental Optical Apparatus Design and Operation

In order to make reflection and transmission measurements on our crystals and films of  $V_2O_3$  and  $VO_2$ , two spectrometers were used. We will describe them briefly in this section. In addition, we will present the optical setup for our angular dependence measurements.

#### 1. Single Beam Spectrometer for both Reflection and Transmission Measurements

The single beam spectrometer and associated optics has been described in detail in Ladd's technical report (35).

The light is chopped at 600 Hz by a Princeton Applied Research (abbreviated (PAR)) Model BZ-1 chopper. The sample optics for both reflectivity and transmission measurements, and the detector optics are shown in Fig. III-3. Since this is a single beam design, two measurements have to be made with each sample — an  $I_0$  measurement with the sample out of the optical path, and an  $I$  measurement with the sample in the optical path. The reflection or transmission is then found by taking the ratio  $I/I_0$ . The drifting of light sources plus focusing errors are the main sources of uncertainty in transmission and reflectivity measurements, with an accuracy no better than  $\pm 5\%$ .

Measurements at temperatures below room temperature were done in an optical dewar specially designed for our spectrometer (see Fig. III-4). Because of the leaks through the thermocouple wires and heater leads, the lowest temperature we were able to achieve was about 100°K when liquid nitrogen was used.

Our detection electronics and the various detectors we used have also been discussed in detail (35). Here, we will show only a diagram summary of the detectors and their associated electronics (Fig. III-5).

Generally, a CaF<sub>2</sub> prism has been used since it has a very good operating spectral region from 250 mm to 8μm. The CaF<sub>2</sub> prism has been carefully calibrated using the absorption lines of atmospheric water vapor, carbon dioxide and polystyrene, and emission lines from a Hg-Zn-Cd arc discharge lamp. There is an uncertainty in the wavelength calibration of less than 0.2% which is accurate enough for our measurements.

## 2. Ratio Reflectometer

Most of our optical measurements were made using the spectrometer described above. However, in a series of experiments where we investigated the changes in the optical reflectivity between the paramagnetic metallic state and the paramagnetic insulating state in V<sub>2</sub>O<sub>3</sub> and chromium doped V<sub>2</sub>O<sub>3</sub> crystals as a function of temperature, there was a need for a ratio reflectometer.

A ratio reflectometer has quite a few advantages over the single beam spectrometer, and a detailed discussion of the superiority of

such a setup has been presented by McElroy (36). In a single beam spectrometer, the spectral range of interest is swept twice; once with the sample in the light beam and once without the sample. The two resultant traces are divided to give the percent of light reflected.

There are a few major disadvantages to this method. Drift in the optical system, especially the light sources, occurs between the two sweeps, and limits the resolution of amplitude changes. This problem is more pronounced in our experiment because the reflected light at a particular wavelength has to be monitored for as long as several hours as a function of slowly varying temperature.

A second disadvantage is the delay in time that results from the laborious process of measuring the intensities of  $I_0$  and  $I$ , dividing them, and then plotting the results before the experiment can be evaluated. This objection is not just a matter of convenience. It is not unusual that one experiment suggests another, and if results are not known immediately, it may be difficult or impossible to return to the original conditions. Changes in experimental conditions, during the course of the experiment, may be difficult to detect. In our experiments,  $V_2O_3$  samples oxidize when heated to temperatures over  $\sim 400^{\circ}K$  unless they are adequately protected by a protective atmosphere. Any changes in our samples could be rapidly indicated by a ratio reflectometer.

In our single beam spectrometer, reflectivity is not measured at normal incidence, but at an angle within  $\sim 10^{\circ}$  from the normal. Although this small deviation from normal incidence usually causes

negligible changes in the measurement, especially in the case of unpolarized incident radiation (37, 38), it is possible that this might lead to errors, especially when measurements with polarized radiation are being used. A normal incidence reflectometer eliminates even this risk.

We, therefore, collaborated with Dr. Paul Raccah of Lincoln Laboratory in improving the design of a normal incidence ratio reflectometer suitable for our purposes. Figure III-6 shows a schematic of the optical apparatus. The quartz prism monochromator, obtained commercially from Oriel Optics (Model F-11-20), has an in-line configuration of the entrance and exit beams and installation into an optical path without disturbing its direction becomes possible. Its light weight and miniature size ( $\sim 2\frac{3}{8}'' \times 7'' \times 1\frac{7}{8}''$ ) enables easy mounting of the unit in the system. With a slit width of 0.1 mm, the monochromator has a wavelength resolution better than 2% in the spectral range of our interest which is between 0.6 eV and 2.0 eV; this resolution is adequate for our measurement. The light from the monochromator is chopped by a PAR Model 125 light chopper at 83 Hz. Then the light beam is divided into two beams by a quartz beam splitter. One beam is focussed by a quartz lens on the sample to be measured ( $\sim 1\text{ mm} \times 1\text{ mm}$  spot); the other beam provides the reference channel. Two additional quartz lenses focus the divided beams onto the center of two matched lead sulphide (PbS) detectors. The two PbS detectors (obtained from Infrared Industries, Waltham, Mass.) were selected from ten detectors and the difference in the spectral response of the two matched ones was less

than 0.5% from 2.00 eV to 1.20 eV and less than 3% from 1.20 eV to 0.60 eV. Slight adjustments were made to the reflectivity spectra corresponding to the matching characteristics of the two detectors. Since the signal in a PbS detector depends on its biasing circuits and its physical characteristics, we calibrate the biasing circuits of the two detectors by adjusting the readout reflectivity of an aluminum mirror to its calibrated value at 1.96 eV.

The main sources of experimental uncertainty are from optical misalignment and electronic noises and drifts, especially in the PAR 230 Divider, where the accuracy of ratio of two signals decreases when one signal becomes much smaller than the other. For a ratio close to 1.0, the accuracy is found to be better than  $\pm 0.5\%$ . For a ratio close to 0.2, the accuracy is close to  $\pm 1.0\%$ .

Therefore, with proper care in optical alignment, the reflectivity readout should be better than  $\pm 1\%$  of the reflectivity for a sample whose reflectivity ratio is larger than 0.5. The uncertainty increases when the reflectivity gets smaller and is close to  $\pm 2\%$  when the reflectivity ratio is  $\sim 0.2$ . Figure III-7 shows the reflectivity of a sample measured by this ratio reflectometer and the single beam spectrometer described earlier. The reflectivity curve, obtained by the single beam spectrometer, was normalized at 1.96 eV to 20.2%, which had been obtained earlier by a near normal incidence reflectivity measurement using a helium-neon laser. The reflectivity spectra obtained in the two

systems are similar in the spectral range (within the experimental uncertainty of the systems).

For some of our measurements, a high temperature optical sample holder was needed to provide a sample temperature as high as  $600^{\circ}\text{K}$ . Since  $\text{V}_2\text{O}_3$  crystals oxidize at high temperature, they were protected by a steady flow of forming gas (argon 85% and hydrogen 15%). An adequate flow was found to be  $\sim 30$  cu.ft./hour. If the flow was lower, the reflectivity of the sample changed after the heating cycle; in particular, the reflectivity at low photon energies (around 0.6 eV) decreased markedly after the heating cycle. The protection technique works chiefly because  $\text{V}_2\text{O}_3$  cannot be reduced by hydrogen gas to lower oxides in our operating temperature region (39). Figure III-8 shows a detailed schematic of this high temperature sample heater. The heating was provided by a cartridge heater whose current was regulated by a Tempies temperature controller so that the sample temperature was regulated to  $\pm 2^{\circ}\text{C}$ .

In high temperature measurements, the problem was further complicated because the PbS detectors were ambient-temperature sensitive; then its signal level would change by  $\sim 1\%$  for every  $^{\circ}\text{C}$  change (40). Thus, in high temperature experiment, the PbS detectors were placed in heat-insulated chambers with quartz windows for light transmission and the detectors were in a steady stream of dry nitrogen gas. This system was calibrated by heating a polished aluminum metal piece to  $600^{\circ}\text{K}$  in the forming gas. The change of reflectivity ( $\frac{\Delta R}{R}$ ) at 0.65 eV

(the photon energy at which the reflectivity was usually monitored in our experiments) was found to be less than 1%.

Therefore, if we assume that the reflectivity of aluminum mirror is insensitive to temperature changes — and this is not an unreasonable assumption — then our setup should be able to see reflectivity changes as low as 1% in this temperature interval.

For experiments at temperatures below room temperature, the optical dewar described in Fig. III-4 was used. Quartz windows were used in the dewar. To balance the effect of having one quartz window in the sample channel, we also put a quartz window (double in thickness of the one in the dewar; that is, light passes the window in the dewar twice) in the reference channel.

### 3. Optical Setup for Angular Dependence Measurements \*

In order to minimize experimental uncertainties in our angular dependence measurements on small samples, we need a very narrow collimated light beam with sufficient intensity and with polarization in the plane of incidence. This can be easily obtained by the use of lasers. The helium-neon laser (Spectra Physics Company, Model 119) emits coherent radiation at 632.8nm (1.96 eV) with the polarization in the plane of incidence. An argon ion laser (Coherent Radiation Co., Model 54), however, gives off coherent radiation at five different wavelengths, with two principal lines, one at 514.5nm and one at 488.0nm. We selected the line at 488.0nm (2.54 eV) since it is not so close to

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\* In collaboration with Dr. Paul Raccah, Lincoln Laboratory.

1.96 eV as the other principal line at 514.5nm (2.41 eV). In the case of the argon ion laser, the emitted polarization is perpendicular to the plane of incidence, and two polarizers are used to rotate the polarization into the plane of incidence. The unwanted polarization, that is, the amount of light still polarized perpendicular to the plane of incidence, is less than 0.15% in both the helium-neon laser and the argon ion laser.

Since our crystals are quite small (typically 2-3 mm across), we used a system of two quartz lenses to obtain a narrow collimated beam ( $\sim 0.2$  mm diameter and a divergence of  $\sim 1/10^{\circ}$ ). A detailed schematic of the setup using the argon ion laser is shown in Fig. III-9. Two silicon photovoltaic detectors were used as detectors and the two detectors' signals were fed into two PAR Model 211 amplifiers, and followed by two PAR Model 220 lock-in amplifiers (the laser light was chopped at 800 Hz to eliminate stray light). The two dc signals from the lock-in amplifiers were divided by the PAR 230 Divider and fed into a teletype which was used as a digital voltmeter. Such a ratio system eliminates the errors from the drifts of laser power during the experiments.

Owing to the particular configuration of the experimental setup, the outputs of the PAR 230 Divider with the laser beam at different angles of incidence on the crystal being measured were normalized by the output of the PAR 230 Divider obtained by placing the silicon detector B between the crystal and the quartz lens of focal length 2.5cm (see Figure III-9).

Careful alignment was needed so that for  $\phi = 0^\circ$ , the light was reflected back along the incident light path. Also, since the detector B (see Fig. III-9) was not coupled to the rotation of the sample, by geometrical argument, the center of the rotation axis does not have to be on the main optical light path (PP' in Fig. III-9). This facilitates the optical alignment (41). To ensure that the beam will always be incident on the center of the sample for all angles of incidence, the rotating table was mounted on a moving platform for convenient optical alignment.

We estimated our uncertainty in  $\phi$  to be about 1/5 degree and the reflectivity to have an uncertainty of  $\sim 1\%$ , mainly because of the slight nonuniformity of the signal response across the silicon detectors and the drift in electronics.

In Chapter IV, we will present the optical measurements obtained using the above experimental setups, and the optical constants derived from these measurements using the Kramers-Kronig analysis, the oscillator fit method, and the angular dependence method.

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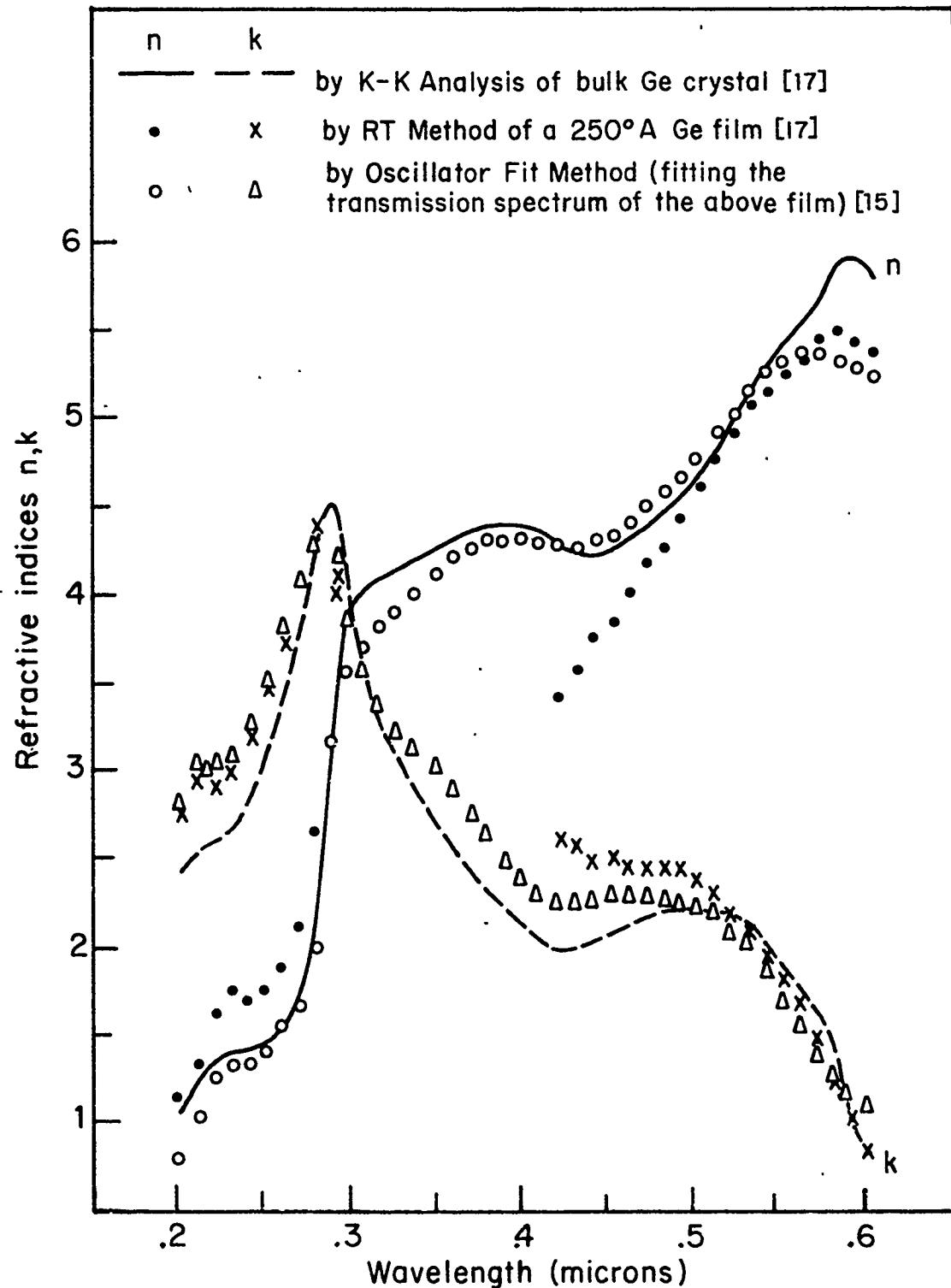


FIGURE III-1 A comparison of different methods of evaluating the optical constants  $n$  and  $k$  of germanium (15).

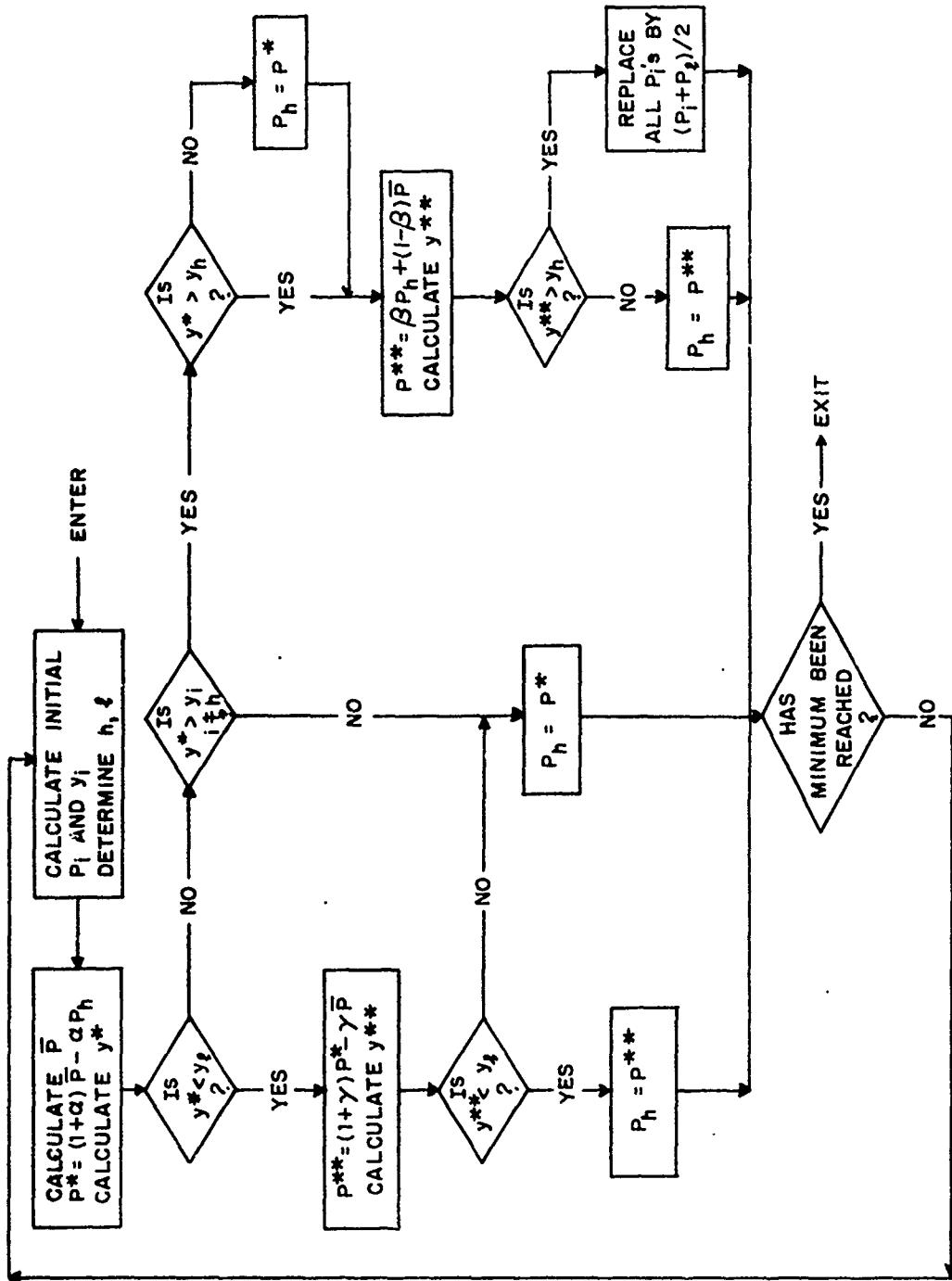


FIGURE III-2 Flowchart of the simplex method (30).

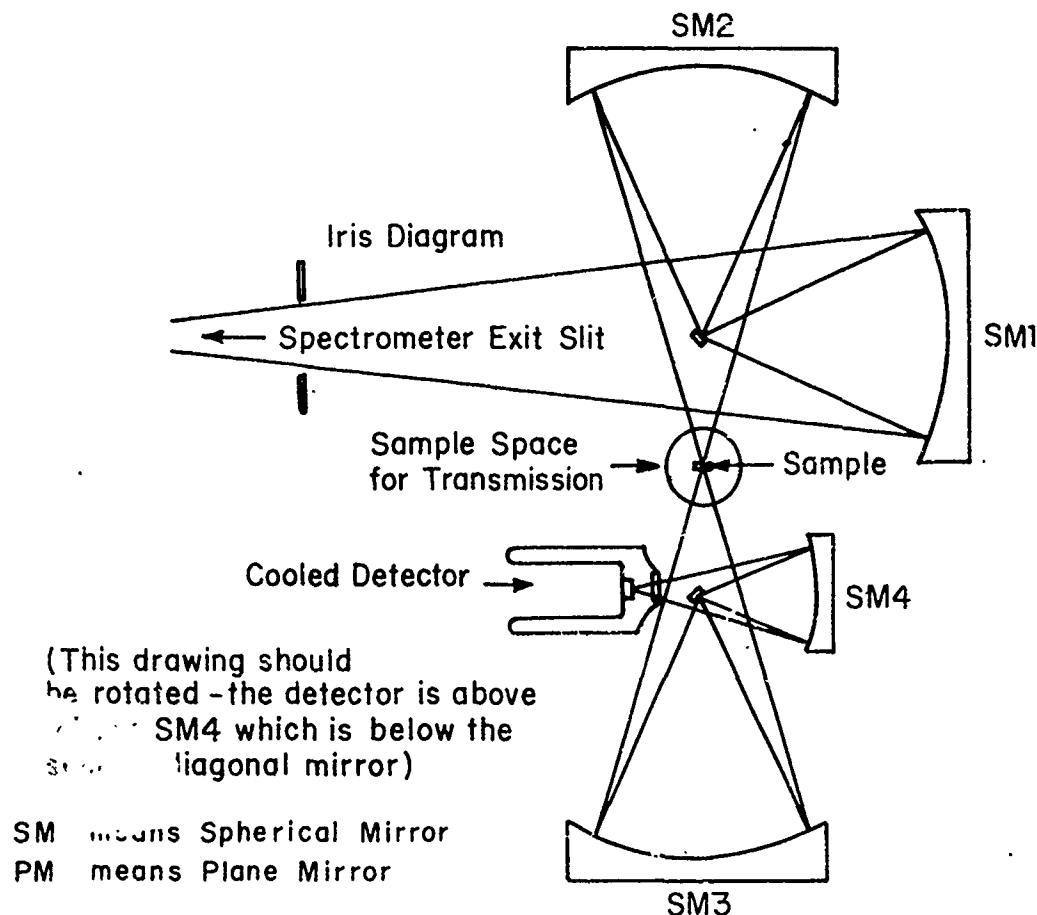
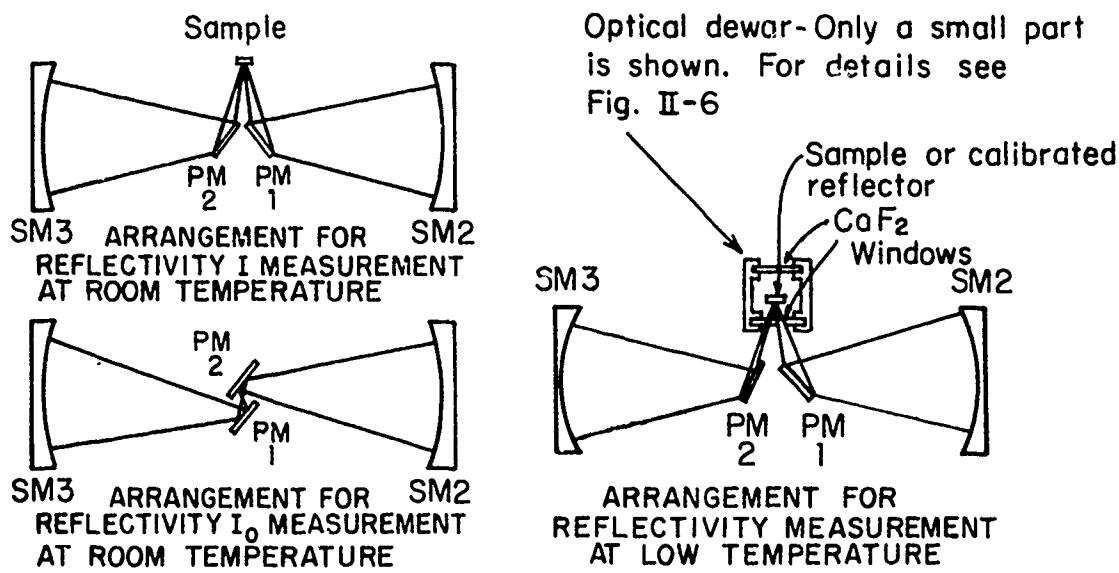


FIGURE III-3 The schematic diagram of the sample and detector optics of the single beam spectrometer (35).

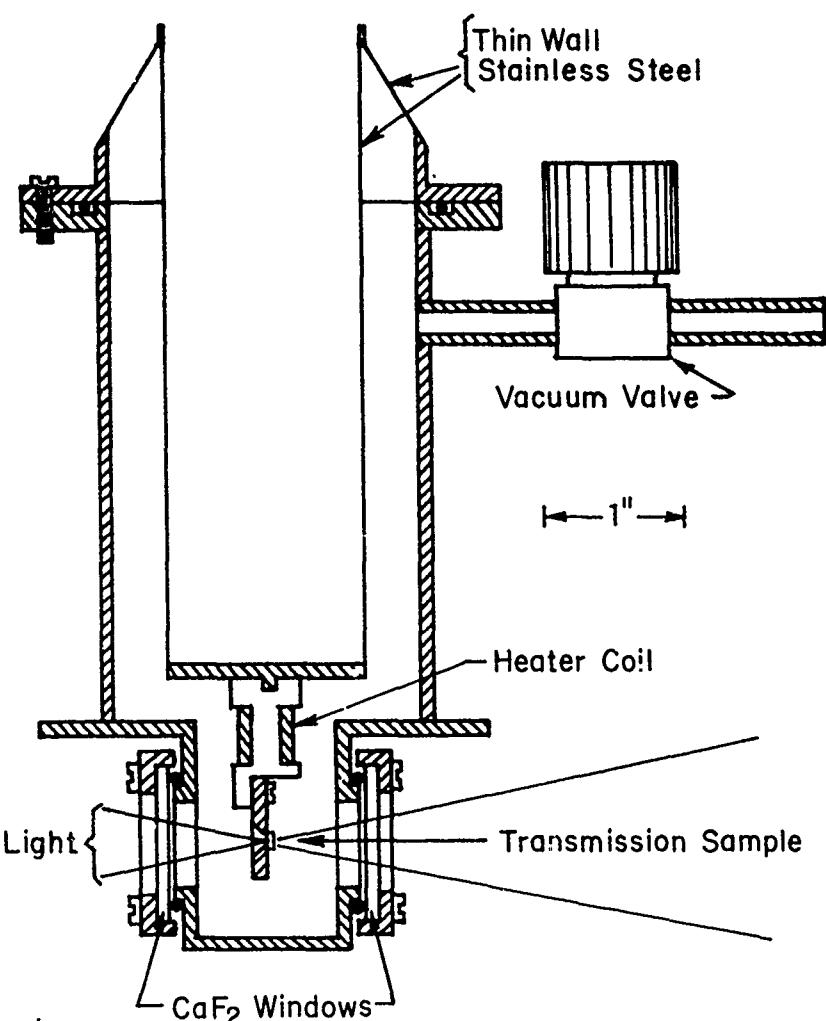
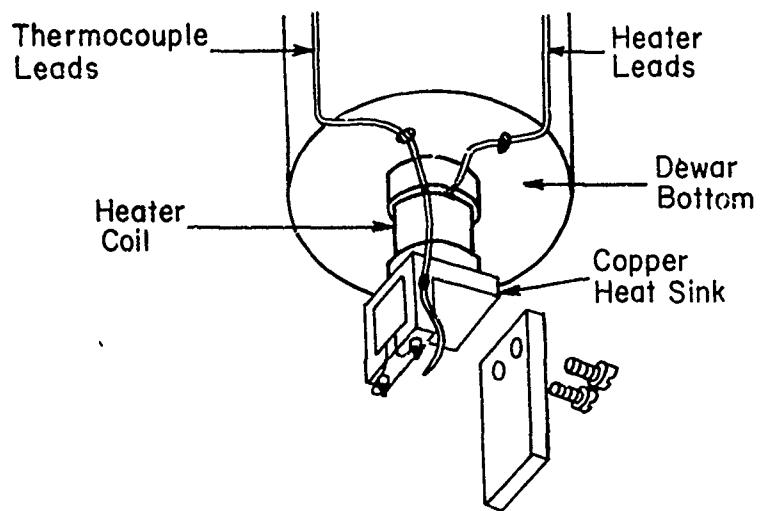


FIGURE II-4 An optical dewar designed for the single beam spectrometer (35).

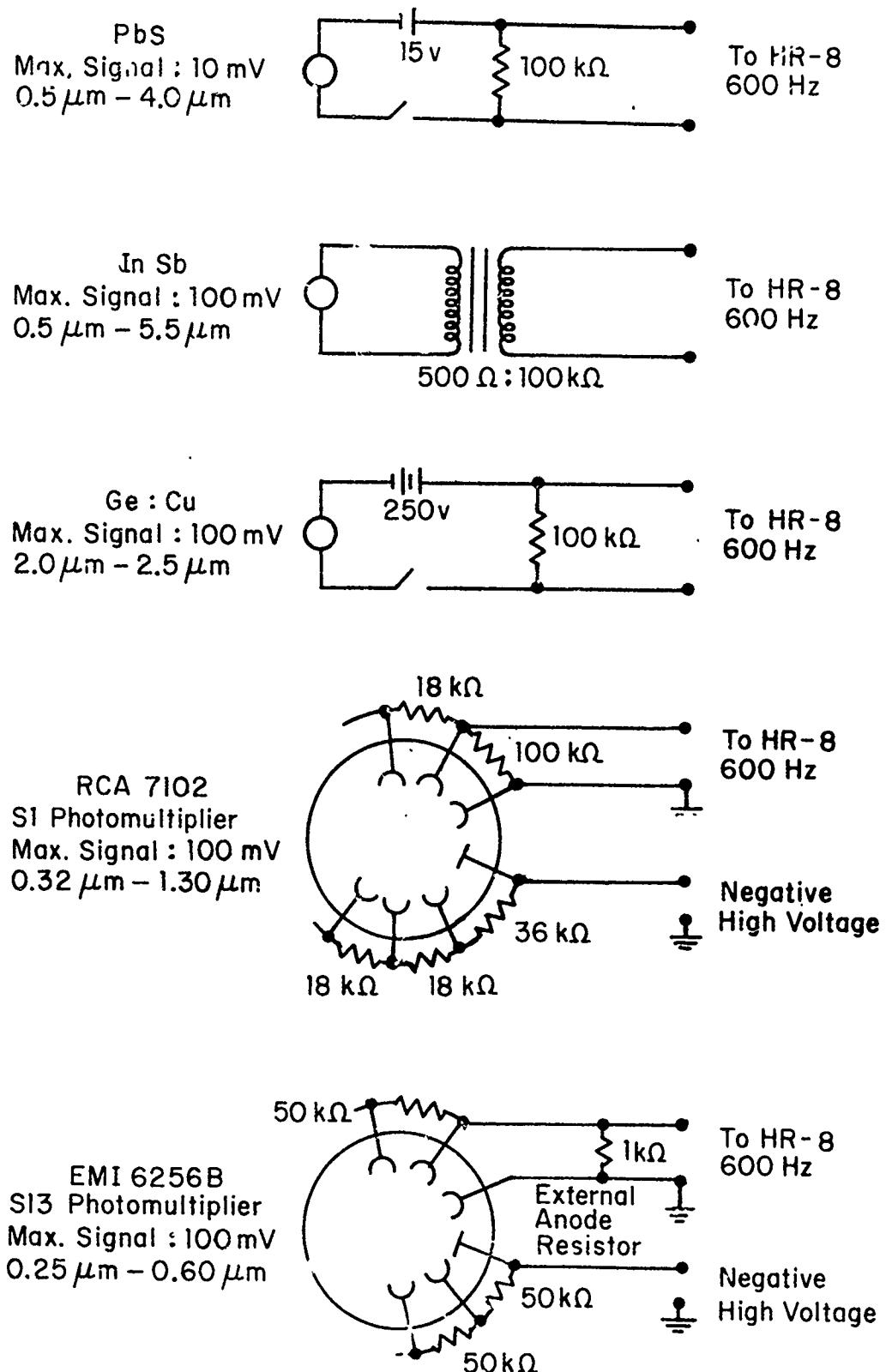


FIGURE III-5 The diagram summary of our detectors and their associated electronics (35).

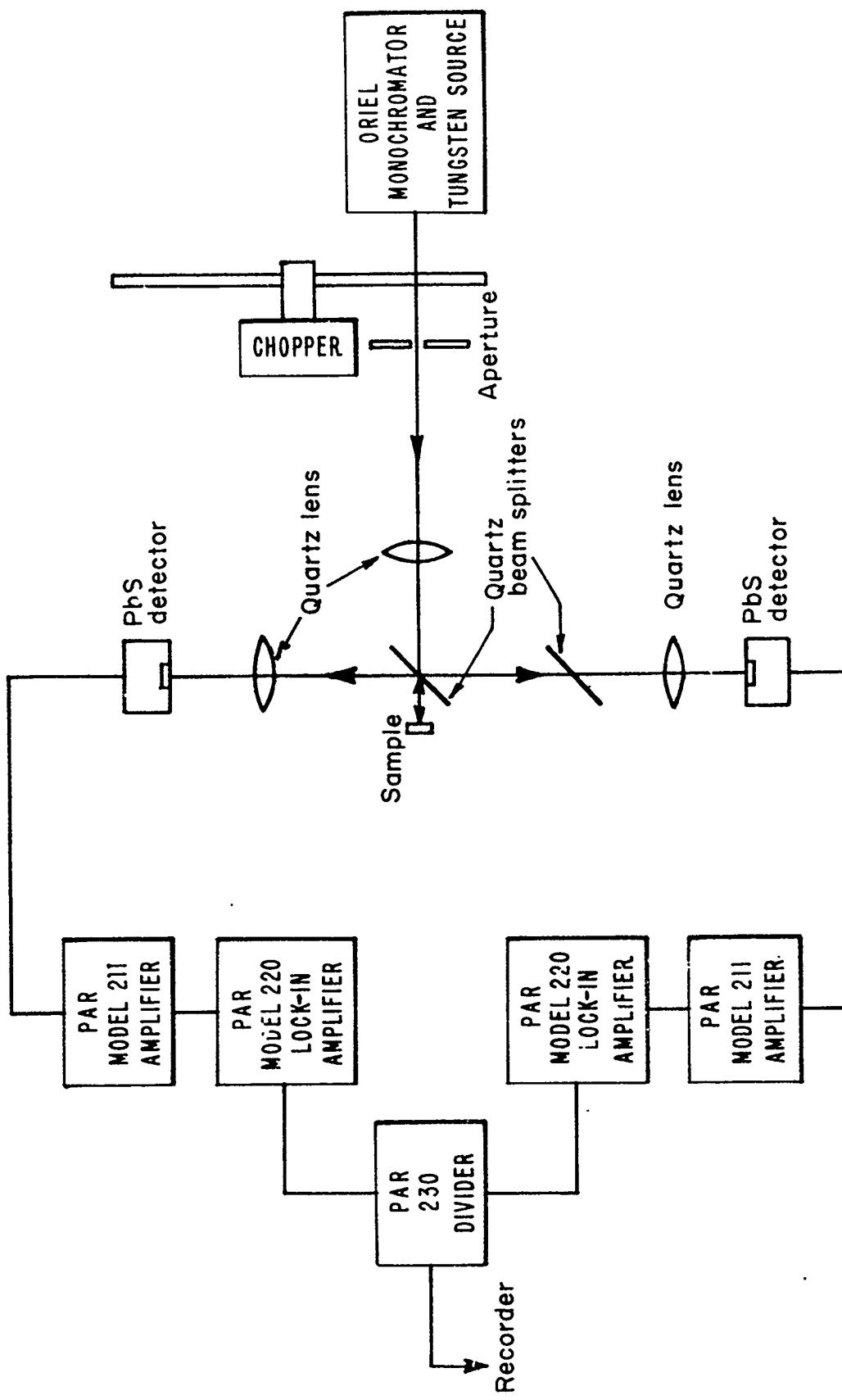


FIGURE III-6 The schematic diagram of the ratio reflectometer and its associated electronics.

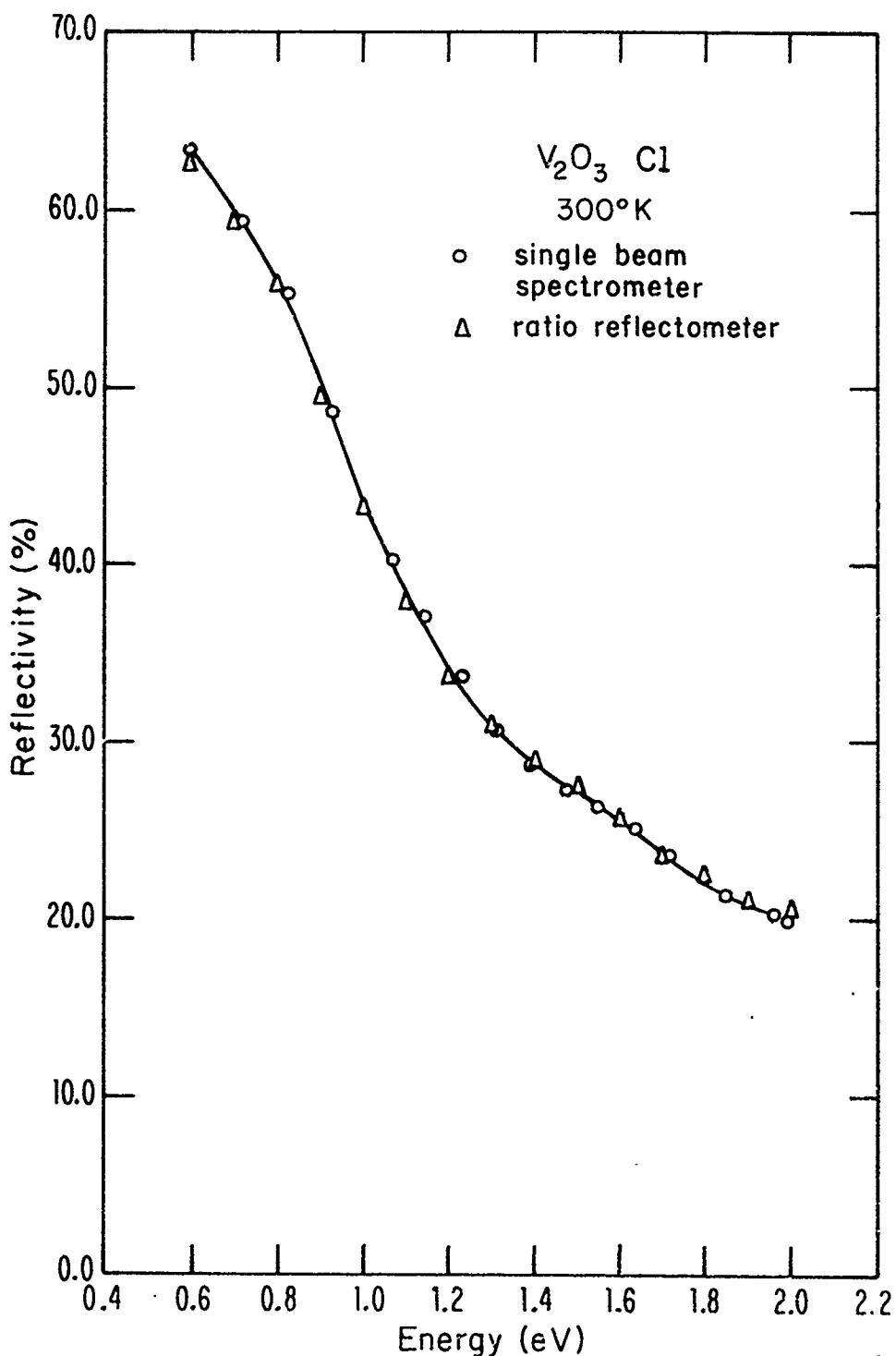
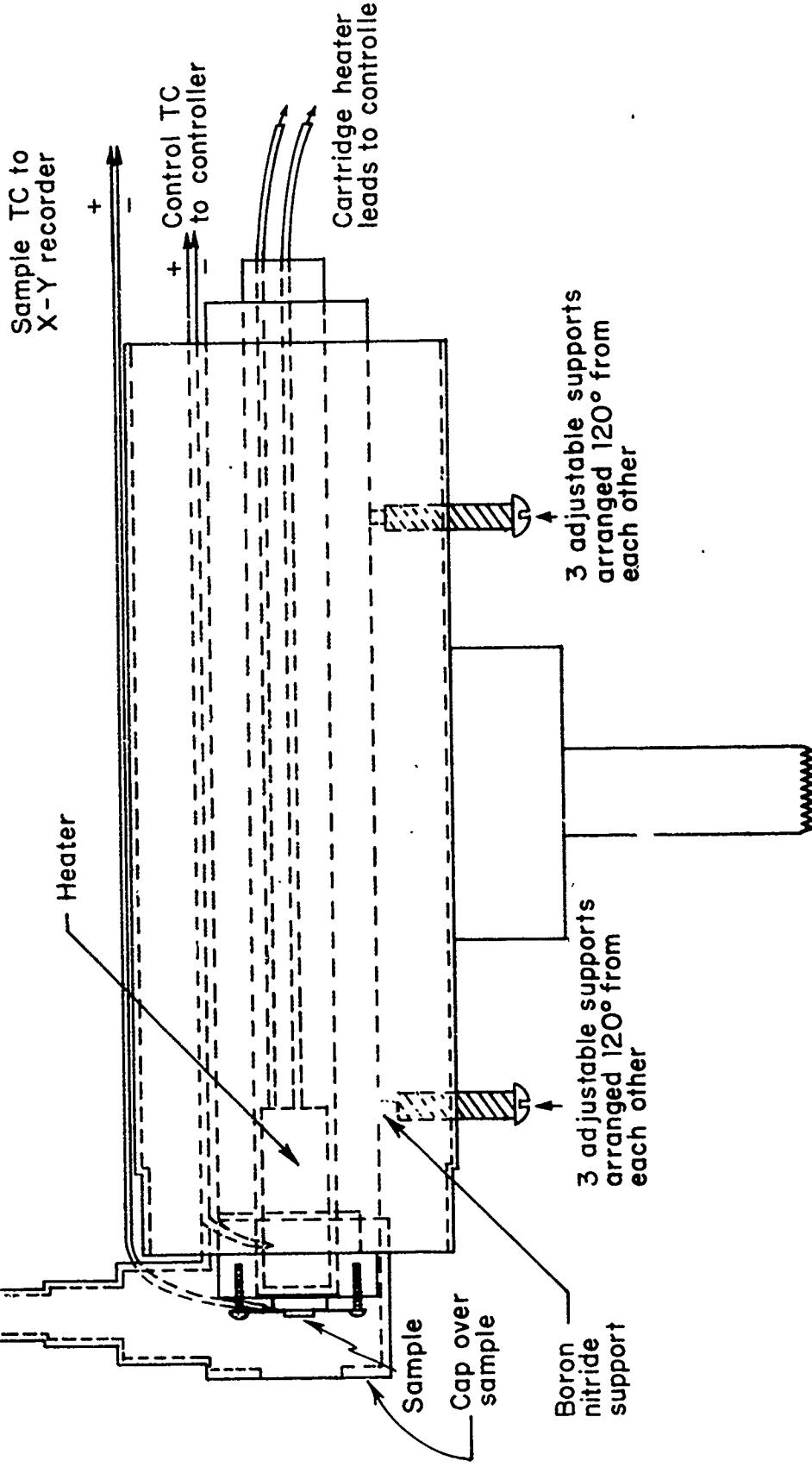


FIGURE III-7 The reflectivity of a  $V_2O_3$  sample measured in both the single beam spectrometer and the ratio reflectometer.

High Temperature Sample Holder Scale : Full  
Gas for prevention of oxidation



Note : Unless specified, the screws are made of stainless steel, and the rest of the setup of brass  
The adjustable supports are used for optical alignment.  
TC means Thermocouple (Chrome-Alumel)

FIGURE III-8 The schematic diagram of the high temperature optical sample holder.

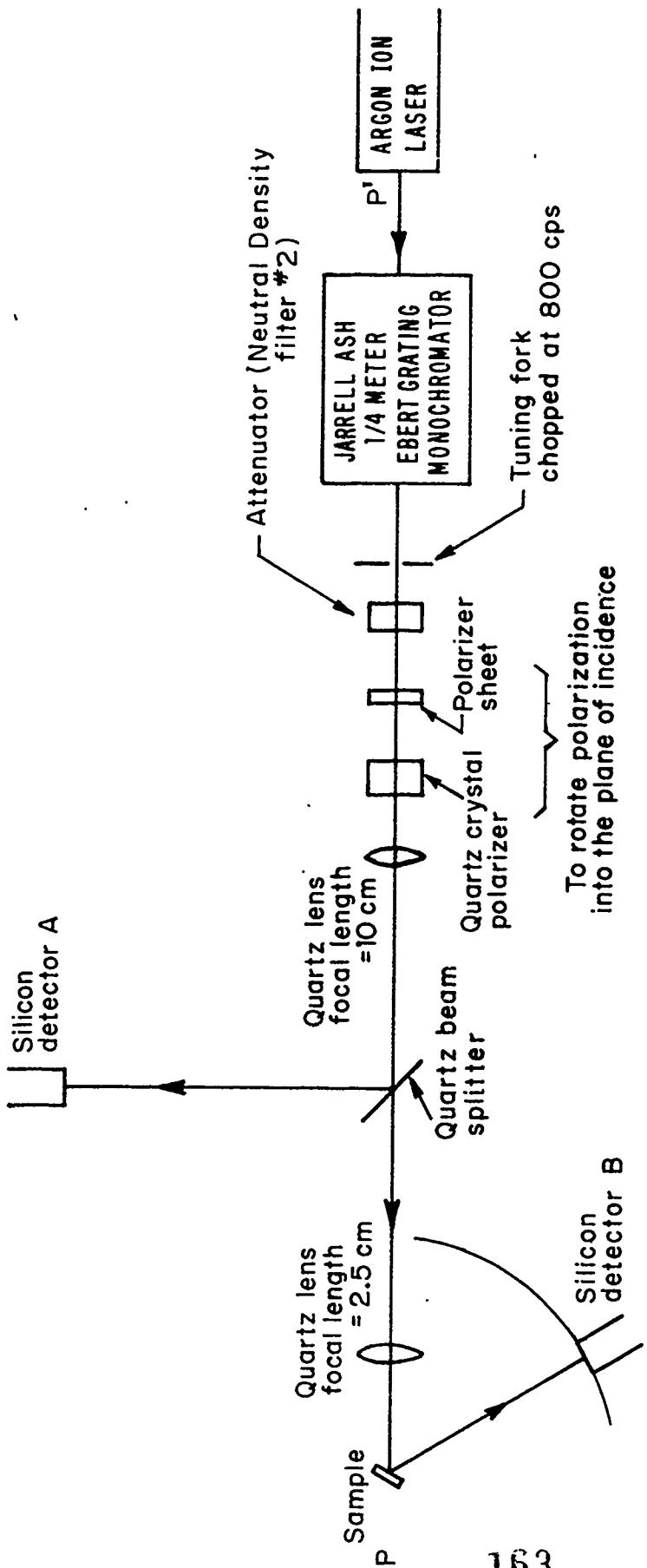


FIGURE III-9 The optical set-up for the angular dependence measurements.

## CHAPTER IV

### OPTICAL RESULTS AND DISCUSSION

In this chapter, we shall report the results of our optical measurements on  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$ . Most of our measurements were done on single crystals of  $\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$ . The optical properties of  $\text{VO}_2$  single crystals have already been reported by Ladd and Paul (1) and Ladd (2). We shall, however, present the optical constants we have derived from the reflectivity curves of  $\text{VO}_2$  reported by Ladd (2). The optical properties of films will then be presented as a comparison to those of bulk crystals. Since the films have much smaller changes in resistivity at the phase transition than those of bulk crystals (see Chapter III) and since their thickness is usually uneven, and their surfaces rough, no optical constants were derived from measurements on the films.

#### A. Introduction

Most of our optical measurements were made on unoriented crystals, mainly because, in our experimental observation, we had found no significant optical anisotropy in such crystals at room temperature. Here, we will elaborate on this question.

In separate studies, it has been found that the dc electrical conductivity of  $\text{V}_2\text{O}_3$  crystals in the metallic state exhibits no significant anisotropy (3, 4). Feinleib and Paul (3) reported that the anisotropy ratio of  $\text{V}_2\text{O}_3$  crystals (the ratio of resistivity along the c-axis to resistivity along the a-axis of the crystal) varied from 0.9 at  $275^{\circ}\text{K}$  to

1.1 at 625°K. While a lack of anisotropy in the dc electrical conductivity of a crystal does not necessarily imply a lack of anisotropy in the frequency dependent optical constants, it is not uncommon to find significant optical anisotropy in uniaxial crystals. For example, in quartz ( $\text{SiO}_2$ ) which is hexagonal in structure, the refractive indices  $n_e$ , obtained with the electric field vector along the c-axis, and  $n_o$ , obtained with the electric field vector perpendicular to the a-axis, were reported in the wavelength interval from  $0.19\mu$  to  $2.18\mu$  and were found to be within 1% of each other over the entire wavelength region (5). In sapphire ( $\text{Al}_2\text{O}_3$ ), which has the corundum structure,  $n_e$  and  $n_o$  were measured in the interval from  $0.54\mu$  to  $0.67\mu$  and they too were found within 1% of each other (5). And Chandrasekharan and Damany (6), who investigated the optical constants of  $\text{Al}_2\text{O}_3$  in the vacuum ultraviolet region from  $0.61\mu$  to  $0.32\mu$ , reported that the refractive indices  $n_e$  and  $n_o$  were within 1.5% of each other over this wavelength region.

To confirm that there is no significant optical anisotropy in our crystals we performed an experiment\* on a  $\text{V}_2\text{O}_3$  crystal from Run #1 (x-ray Laue back reflection pattern showed the front surface  $\sim [01\bar{1}2]$ , which is  $\sim 58^\circ$  from the c-axis), and on a  $(\text{V}_{0.982}\text{Cr}_{0.018})_2\text{O}_3$  crystal from Run #9 (x-ray Laue back reflection pattern showed the front surface to be  $\sim 20^\circ$  away from the c-axis) at room temperature. These crystals will henceforth be referred to as B1 and R1 respectively. The crystals were mounted on a rotating disk so that the axis of rotation was along the incident optical path of the ratio-reflectometer described in

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\*In collaboration with Dr. Paul Raccah, Lincoln Laboratory.

Chapter III. The incident light was polarized by a quartz crystal polarizer in such a way that the electric field was perpendicular to the plane of incidence. Since the c-axis was not perpendicular to the front surface of either of the crystals, the incident polarization should have different effects on the c-axis and a-axis when the crystals were rotated about the optical axis. We did the polarization studies at four photon energies: 2.0 eV, 1.5 eV, 1.0 eV, and 0.65 eV. As we rotated the crystals, their reflectivity remained within  $\pm 1\%$  of their values, which is within the range of experimental uncertainty of the optical setup. Therefore, the experiment indicated that there was no significant anisotropy in the crystals between 0.6 eV and 2.0 eV; please note that a lack of optical anisotropy in a crystal between 0.6 eV and 2.0 eV does not necessarily imply that there is no anisotropy over the whole spectral region.

We then turned to other observations to demonstrate further the lack of optical anisotropy in these crystals. We found that the optical constants B<sub>1</sub> and R<sub>1</sub> obtained from the angular dependence measurements were very similar to those derived by the oscillator fit method from the near-normal incidence reflectivity measurements (at the same energies: 1.96 eV and 2.54 eV respectively). For reasons we will discuss later in this chapter, we concluded from the above observation that the optical anisotropy in these crystals is not significant.

Since we observed no significant optical anisotropy, our measurements could be done on unoriented, mechanically polished crystals —

this was fortunate since almost all our crystals were too small (approximately 2-3 mm across and 3 mm long) for crystal orientation anyway.

The crystals were first polished by  $10\mu$   $\text{Al}_2\text{O}_3$  paste, followed by  $5\mu$  and  $2\mu$  diamond pastes and finished with  $1\mu$  diamond paste. They were then rinsed in alcohol and in de-ionized water, and blown dry with dry nitrogen gas. The samples prepared this way have very similar optical surfaces, as demonstrated by the close resemblance of the reflectivity spectra of the two  $\text{V}_2\text{O}_3$  crystals C1 and C2 (they were cut from a boule from Run #2 with c-axis perpendicular to the plane of the crystals, and the reflectivity spectra are shown in Fig. IV-1).

#### B. Angular Dependence Measurements<sup>\*</sup>

We have discussed earlier in Chapter III that the values of optical constants evaluated from a reflectivity spectrum by either the oscillator fit method or the Kramers-Kronig analysis could be subject to errors. To minimize the possibility of errors, we obtained the values of n and k at two photon energies (1.96 eV and 2.54 eV) by the angular dependence measurements, and then required the calculated values of n and k obtained by the Kramers-Kronig analysis or the oscillator fit method to fit the measured values at the above mentioned photon energies (for detailed discussion see Chapter III). We will present the results of the angular dependence measurements in this section.

Angular dependence measurements were done on C1 and C2 crystals at room temperature. Figures IV-2 and IV-3 show the reflectivity  $R_p$

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\*In collaboration with Dr. Paul Raccah, Lincoln Laboratory.

of C1 and C2 as a function of incidence angle  $\phi$  at both 1.96 eV and 2.54 eV. Using the angular dependence curve fitting procedure described in Chapter III, we obtained reasonable fits between the theoretical and the experimental values of  $R_p$  as a function of  $\phi$ . The values of  $n$  and  $k$ , which provide such fits, are listed as follows:

**For C1:**

At 1.96 eV,  $n = 1.77$  and  $k = 1.10$

At 2.54 eV,  $n = 1.82$  and  $k = 0.90$

**For C2:**

At 1.96 eV,  $n = 1.78$  and  $k = 1.10$ ;

At 2.54 eV,  $n = 1.81$  and  $k = 0.90$

Angular dependence measurements were also done on R1. The measured and fitted  $R_p$  versus  $\phi$  values are shown in Fig. IV-4 and their optical constants are listed as follows:

At 1.96 eV,  $n = 2.02$  and  $k = 1.14$ ;

At 2.54 eV,  $n = 1.86$  and  $k = 0.96$ .

**Error Analysis.** Since Eq. (3-5b), used in the angular dependence method, is very complex, error analyses by mathematical means would be difficult. Instead, we took a different approach. First, an angular dependence measurement was done on the  $V_2O_3$  crystal B1 at 2.54 eV; the optical constants obtained were  $n = 1.79$  and  $k = 0.89$ . Then to investigate the effect of the absolute values of  $R_p$  on the values of  $n$  and  $k$ , we multiplied all the  $R_p$  values of B1 by a factor of 1.05. After fitting the newly generated data using Eq. (3-5b), we obtained no change

in  $n$  and an increase of  $\sim 3\%$  in  $k$ . Similarly, by multiplying the experimental  $R_p$  values of B1 by 0.95 and fitting the newly generated data, we again found no change in  $n$ , and a decrease of  $\sim 3\%$  in  $k$ . By keeping  $R_p$  values the same as the experimental values but by increasing each corresponding value of  $\phi$  by 5 degrees, we found an increase of  $\sim 8\%$  in  $n$  and a slight decrease ( $\sim 1\%$ ) in  $k$ . Obviously, the above analysis holds true only for this particular set of  $n$  and  $k$ . However, since the values of  $n$  and  $k$  obtained for all our crystals are in the vicinity of the above values ( $n = 1.79$ ,  $k = 0.89$ ), we should expect similar dependence of the  $n$  and  $k$  of C1, C2 and R1 on the experimental accuracy of  $R_p$  and  $\phi$ . In our optical setup, the uncertainty in  $\phi$  from the alignment errors, as stated in Chapter III, should not exceed 1/5 degree and the accuracy of  $R_p$  should be within  $\pm 1\%$ . Therefore, the actual experimental uncertainties in  $\phi$  and  $R_p$  should cause very small errors in  $n$  and  $k$ .

There are, however, other sources of error, namely, surface scattering and polarization effects. In angular dependence measurement, surface scattering could become important when the surface of the material is rough. Strictly speaking, the effects of surface scattering on our measurements can be considered as two parts; the first part is independent of the incidence angle  $\phi$  and will affect equally the absolute values of  $R_p$  at all  $\phi$ 's. Its effects have been shown to be small in our earlier investigation of effects on  $n$  and  $k$  by the uncertainties in the absolute values of  $R_p$ . The second part of the surface scattering effects

is dependent on  $\phi$  and the effects usually become important for large angles of incidence. To demonstrate that this part is also unimportant to our measurements, we deleted the experimental value of  $R_p$  of C1 at  $\phi = 70^\circ$  from the initial set of data points (at 2.54 eV), and proceeded to fit this new set of data points. If the surface scattering were important, we should expect an appreciable change in  $n$  and  $k$ ; however, we obtained  $n = 1.81$  and  $k = 0.90$  which are very similar to those obtained from the initial set of data points ( $n = 1.82$  and  $k = 0.90$ ), thus indicating that the surface scattering effects are not important.

Our measurements were done with the electric field of the incident radiation polarized in the plane of incidence. If in the incident beam, the electric field were to contain a component which is polarized perpendicular to the plane of incidence, there is a possibility of error because the  $R_p^*$  and  $R_n^*$  as a function of  $\phi$  are expressed by different equations (see Eqs. (3-5a and 5b)).

To incorporate this mixing effect into Eq. (3-5b), we modified it:

$$R = R_p + pR_n \quad (4-1)$$

where

$$p = \frac{\text{intensity of incident radiation with the electric field polarized perpendicular to the plane of incidence;}}{\text{intensity of incident radiation with the electric field polarized in the plane of incidence}}$$

$p$  was measured and found to be less than 0.0015 in our system. We then fitted the experimental values of the reflectivity of C2 as a function

\*  $R_p(R_n)$ , as defined in Chapter III, is the reflectivity of a crystal when the electric field of incident radiation is polarized in (perpendicular to) the plane of incidence.

of  $\phi$  at 2.54 eV using Eq. (4-1) with  $p = 0.0015$ , and obtained  $n = 1.82$  and  $k = 0.89$ , which again are very close to  $n = 1.81$  and  $k = 0.90$  obtained by fitting the experimental values using Eq. (3-5b).

There was also the indication that any effects of optical anisotropy on the optical constants at 1.96 eV and 2.54 eV were negligible. If there is any significant anisotropy, then a good fit of the theoretical curve to the experimental values of  $R_p$  versus  $\phi$  for all  $\phi$  will be difficult to obtain. This was not the case in our experiments. Furthermore, even if the crystals were anisotropic and good fits were obtained between the theoretical curves and the experimental curves, the optical constants  $n$  and  $k$  obtained should be different from those derived from near-normal incidence reflectivity spectra of those crystals using the oscillator fit method. We will see later that the constants obtained from both the angular dependence measurements and the oscillator fit method are very similar.

From the above discussions of all the possible sources of error, we feel that our accuracy in determining  $n$  and  $k$  should be better than  $\pm 5\%$  of their values, and we will proceed to use them in our later analyses.

#### C. Optical Results on $V_2O_3$ and $(V_{0.982}Cr_{0.018})_2O_3$ and $VO_2$ Using the Single Beam Spectrometer

##### 1. $V_2O_3$

###### a. $T > T_t$

The optical reflectivity of the two  $V_2O_3$  crystals C1 and C2 was measured in the single beam spectrometer described in Chapter III

and in Ladd's work (2). A great part of the uncertainty in the reflectivity measurements using the spectrometer is due to re-focussing errors. To eliminate this source of uncertainty in our experiment, we normalized the reflectivity values of C1 and C2 at 1.96 eV to 20.2% and 20.1% respectively; these values were obtained from near-normal incidence reflectivity measurements using a helium-neon laser. Figure IV-1 shows the resulting reflectivity curves of both C1 and C2 at room temperature.

Since the values of  $n$  and  $k$  at both 1.96 eV and 2.54 eV for C1 are close to those for C2, and since the reflectivity spectra of these two crystals are also similar, we have only to derive the optical constants for one of the curves, in our case, for the reflectivity spectrum of the C1 crystal; the other crystal, C2, should give similar results.

Figure IV-5 shows the theoretical reflectivity curve obtained from an oscillator fit to the experimental reflectivity data of C1. In this particular fit, we used Eq. (3-17b) to express the complex dielectric constant  $\epsilon(\omega)$  and used Eq. (3-21b) as the objective function in the fitting procedure so that the values of  $n$  and  $k$  at 1.96 eV and 2.54 eV obtained from the oscillator fit were constrained to approach those values obtained from the angular dependence measurements. Table IV-1 shows the values of  $n$  and  $k$  obtained from this fit.

Figures IV-6, 7, and 8 show respectively  $\epsilon_1$  (the real part of the dielectric constant  $\epsilon$ ),  $\epsilon_2$  (the imaginary part of the dielectric constant  $\epsilon$ )

Method	At 1.96 eV		At 2.54 eV	
	n	k	n	k
Angular Dependence	1.77	1.10	1.82	0.90
Oscillator Fit using Eq. (3-21b)	1.79	1.10	1.79	0.89
Oscillator Fit using Eq. (3-21a)	1.81	1.10	1.81	0.86
Kramers-Kronig p = 1.0	1.83	1.08	1.81	0.86
Kramers-Kronig p = 1.1	1.81	1.09	1.79	0.87
Kramers-Kronig p = 1.2	1.78	1.09	1.76	0.88
Kramers-Kronig p = 1.3	1.76	1.10	1.73	0.89

TABLE IV-1. Optical constants n and k of a  $V_2O_3$  crystal (C1) at room temperature, obtained by different methods.

and the absorption coefficient  $\alpha$  as a function of photon energy. We then used the same initial values of the parameters in Eq.(3-17b), but changed the objective function from Eq. (3-21b) to Eq. (3-21a), so that the optical constants at 1.96 eV and 2.54 eV were allowed to take any values. Judging from the reasonable fit shown in Fig. IV-5, we would expect the values of n and k at 1.96 eV and 2.54 eV should not be very different from those obtained from the angular dependence method. If, then, the values of the optical constants at 1.96 eV and 2.54 eV obtained from a reasonable fit to the experimental data were very much

different from the values obtained from the angular dependence method, then it would suggest three possible situations: 1) the oscillator fit method by itself is not adequate to give accurate values of  $n$  and  $k$  at 1.96 eV and 2.54 eV; 2) the angular dependence method did not give us accurate results, probably because of an optical anisotropy; or 3) the reflectivity spectrum has appreciable errors.

Figure IV-9 shows the theoretical reflectivity curve obtained from the oscillator fit to the experimental data using Eq. (3-21a) and Figs. IV-10, 11, and 12 show  $\epsilon_1$ ,  $\epsilon_2$  and  $\alpha$ , respectively, as a function of photon energy obtained from this fit. These curves are all similar to the respective curves in Figs. III-6, 7, and 8. The values of the optical constants at 1.96 eV and 2.54 eV are also listed in Table IV-1, and they, indeed, are close to those obtained from the angular dependence measurements, indicating that none of the above three possible situations actually pertains.

One could then ask whether it was actually necessary to obtain the optical constants at 1.96 eV and 2.54 eV using the angular dependence measurements, since the oscillator fit method using Eq. (3-21a) did give us quite accurate values of  $n$  and  $k$  at 1.96 eV and 2.54 eV (as demonstrated above); or, to put the question differently, will the oscillator fit always give us the correct values of the optical constants? To answer this question, one must re-examine the oscillator fit method carefully. In this method, the complex dielectric constant  $\epsilon(\omega)$  is expressed in terms of a series of oscillator terms and, for metals, a

Drude term (see Eq. (3-17a) or Eq. (3-17b)), and the values of the reflectivity are calculated using Eq. (3-18). Then, the parameters of the oscillator terms and the Drude term are automatically adjusted until a good fit is obtained between the calculated and measured reflectivity values. If we have only one experimental data point to be fitted, then judging from Eq. (3-18), we can select an infinite number of combinations of  $\epsilon_1$  and  $\epsilon_2$  that will give a calculated reflectivity value close to the measured one. However, in practice, we always have data points in a wide spectral range, and hence correct selection of  $\epsilon_1$  and  $\epsilon_2$  is much easier since the values of  $\epsilon_1$  and  $\epsilon_2$  have to be related to each other through Eq. (3-17a) or Eq. (3-17b). There is still no absolute guarantee, however, that we will obtain the correct set of  $\epsilon_1$  and  $\epsilon_2$ . A theoretical study of how this uncertainty can influence our results is very difficult and is dependent on each particular spectrum. To examine the effects of this uncertainty, or non-uniqueness, we obtained three different sets of parameters that gave good fits to the reflectivity spectrum of C1 (by using different sets of initial values of the parameters in Eq. (3-17b)). A comparison of the values of  $n$  and  $k$  obtained from these fits at 1.96 eV and 2.54 eV with those values obtained by the angular dependence measurements should give us some idea of the seriousness of the effects of this non-uniqueness. We found that in all these three fits, the values of  $n$  and  $k$  at 1.96 eV and 2.54 eV were still close to

the measured values. Here, we will report the results of the worst match.\* Figure IV-13 shows the theoretical fit to the experimental data obtained from the oscillator fit method using Eq. (3-21a). The values of  $n$  and  $k$  at 1.96 eV and 2.54 eV are as follows:

$$\text{at } 1.96 \text{ eV}, \quad n = 1.75 \\ k = 1.11$$

$$\text{at } 2.54 \text{ eV}, \quad n = 1.72 \\ k = 0.89$$

The plots of  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  versus photon energy resulting from this fit are shown in Figs. IV-14, 15, and 16. Though there are some differences in the values of these optical constants from those reported earlier, especially for  $E > 2.5$  eV, the general features of these curves are still very similar to their corresponding curves reported above.

\* The criterion for the best match is to choose the particular fit such that the value of the function  $f$ , defined below, is at a minimum:

$$f = \left( \frac{n_{\text{cal}} - n_{\text{meas}}}{n_{\text{meas}}} \right)_{1.96 \text{ eV}} + \left( \frac{n_{\text{cal}} - n_{\text{meas}}}{n_{\text{meas}}} \right)_{2.54 \text{ eV}} \\ + \left( \frac{k_{\text{cal}} - k_{\text{meas}}}{k_{\text{meas}}} \right)_{1.96 \text{ eV}} + \left( \frac{k_{\text{cal}} - k_{\text{meas}}}{k_{\text{meas}}} \right)_{2.54 \text{ eV}}$$

where

subscript "meas" = measured value, and  
subscript "cal" = calculated value.

Therefore, while our investigation is not very exhaustive, the oscillator fit method most probably can provide us reasonable values of optical constants. If we still need more accurate values of the constants, then we have to obtain the values of the optical constants at some photon energies in the spectral range of our interest, say  $n$  and  $k$ , by other methods such as the angular dependence method. The calculated values of  $n$  and  $k$  obtained from the oscillator fit method are then constrained to approach those obtained from the angular dependence method. By this approach, correct selection of values of  $\epsilon_1$  and  $\epsilon_2$  can be assured.

We then did a Kramers-Kronig analysis on the reflectivity curve of C1 (the data points of the reflectivity spectrum were spaced at photon energy intervals of 0.05 eV). Equation (3-11) was used in the extrapolation procedure (discussed in Chapter III);  $p$  was varied from 0.0 to 5.0 by increments of 0.1. Only four values of  $p$ , namely  $p = 0.0$ ,  $p = 1.1$ ,  $p = 1.2$ , and  $p = 1.3$ , gave values of  $n$  and  $k$  at 1.96 eV and 2.54 eV that were within  $\pm 5\%$  of the measured values (see Table IV-1). From the table it can be noted that the Kramers-Kronig analysis using  $p = 1.1$  and  $p = 1.2$  gave values of  $n$  and  $k$  which were very close to the measured values, though a slightly better match was obtained using  $p = 1.2$  than was obtained using  $p = 1.1$ .<sup>\*</sup> Figures IV-17, 18, and 19

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<sup>\*</sup> The criterion for the best match is to choose the particular  $p$  such that the value of the function  $f$ , defined below, is a minimum:

$$f = \left( \frac{n_{cal} - n_{meas}}{n_{meas}} \right)_{1.96 \text{ eV}} + \left( \frac{n_{cal} - n_{meas}}{n_{meas}} \right)_{2.54 \text{ eV}}$$

$$+ \left( \frac{k_{cal} - k_{meas}}{k_{meas}} \right)_{1.96 \text{ eV}} + \left( \frac{k_{cal} - k_{meas}}{k_{meas}} \right)_{2.54 \text{ eV}}$$

where

subscript "meas" = measured value, and  
subscript "cal" = calculated value.

show respectively the plots of  $\epsilon_1$ ,  $\epsilon_2$  and  $\alpha$  versus photon energy. In Fig. IV-17 and Fig. IV-18, the curves were obtained using  $p = 1.2$ . Figure IV-19 shows the plots of  $\alpha$  versus photon energy for  $p = 1.1$ ,  $p = 1.2$  and  $p = 1.3$ ; though the curves are quite similar, there are some differences among them for photon energies greater than 2.0 eV. Therefore, it appears that if we do not have any previous knowledge of  $n$  and  $k$  at 1.96 eV and 2.54 eV, the proper selection of  $p$  that will give us correct values of  $n$  and  $k$  will be difficult in the Kramers-Kronig analysis, while in the oscillator fit method, we have a much better chance to obtain reasonable values of  $n$  and  $k$ .

In summary, the plots of  $\epsilon_1$ ,  $\epsilon_2$  and  $\alpha$  versus photon energy, obtained using the above three different approaches, are similar. except for some minor differences that arose from the curve fitting and from extrapolation uncertainties. Also, in all the  $\epsilon_2$  curves, we observe structures at about 0.6 eV, 1.5 eV and 4.3 eV. There is a weak, broad structure between 2.0 eV and 2.4 eV. Further discussion of these structures will be presented in Chapter V.

As mentioned in Chapter III, the oscillator fit method allows us to extract the free electron contribution directly from the reflectivity spectrum. The parameters of the free electron contribution can vary somewhat depending on the initial values of the parameters used (within 20%). Furthermore, in our oscillator fit method, our parameters are obtained with the assumption that we have a one-band model with all the conduction electrons having the same mobility and effective mass. This is, of course, a serious approximation, and the values of the

optical mobility and the values of the effective mass of the conduction electrons, obtained from the calculation shown below, are thus only an order of magnitude calculation, and should be interpreted as such.

From the oscillator fit method where the values of  $n$  and  $k$  at 1.96 eV and 2.54 eV were constrained to approach the values measured in the angular dependence measurements, we obtained:

$$E_n = 3.54 \text{ eV},$$

$$E_c = 0.678 \text{ eV}.$$

Where  $E_n$  and  $E_c$  are defined as follows:

$$\omega_n = \frac{E_n}{\hbar} = \frac{4\pi n_c e^2}{m^*} \quad (4-2)$$

$$\omega_c = \frac{E_c}{\hbar} = \frac{e}{\mu_{\text{opt}} m^*} = \frac{1}{\tau_c} \quad (4-3)$$

where

$n_c$  = concentration of conduction electrons/holes of optical mobility  $\mu_{\text{opt}}$ , and optical effective mass  $m^*$ .

$\tau_c$  = relaxation time of the conduction electrons/holes.

In  $V_2O_3$ , there are  $3.92 \times 10^{22}$  vanadium ions  $\text{cm}^{-3}$ . As mentioned in Chapter I, there are two outer d electrons per vanadium ion left after all the bonding requirements are fulfilled. If we assume a one-band model and that these outer electrons all become conduction electrons, then  $n_c$  is equal to  $7.84 \times 10^{22} \text{ cm}^{-3}$ . Using  $E_n = 3.54 \text{ eV}$  and  $E_c = 0.678 \text{ eV}$ , and the above value of  $n_c$  in Eq. (4-2) and Eq. (4-3), we obtain  $m^* = 9.1 m_e$  and  $\mu_{\text{opt}} = 0.19 \text{ cm}^2 \text{ N-sec}$ , where  $m_e$  = free

electron mass. Furthermore from Eq. (4-3), we obtained  $\tau_c = 9.8 \times 10^{-16}$  sec.

Though it might be questionable for us to compare the value of the optical mobility with that of the Hall mobility,<sup>\*</sup> it is nevertheless interesting to see whether they are within the same order of magnitude.

Hall effect measurements have been done on  $V_2O_3$  by several people (7, 8, 9). The results obtained varied among the studies. Rosevear and Paul (7) measured a  $V_2O_3$  crystal grown by us using the vapor transport technique and found  $R_H\sigma = 0.95 \pm 0.2 \text{ cm}^{-3}/\text{V sec}$ , which would correspond, in a one-band model, to a carrier concentration of  $1.6 \times 10^{22} \text{ cm}^{-3}$  and Hall mobility  $\mu_H = 0.95 \pm 0.2 \text{ cm}^2/\text{V-sec}$ . Austin and Turner (8) found  $R_H\sigma = 0.4 \text{ cm}^2/\text{V-sec}$ , which would correspond, in a one-band model, to a Hall carrier concentration of  $2.7 \times 10^{22} \text{ cm}^{-3}$  and  $\mu_H = 0.4 \text{ cm}^2/\text{V-sec}$ . Zhuze et al. (9) found  $R_H\sigma = 0.4 \text{ cm}^2/\text{V-sec}$ , which could compare, in a one-band model, to a carrier concentration of  $3.8 \times 10^{22} \text{ cm}^{-3}$  and  $\mu_H = 0.4 \text{ cm}^2/\text{V-sec}$ . (The above-mentioned workers all found that the Hall carriers would correspond to holes in a one-band model.) Hence, in a one-band model, the values of Hall mobility measured are in the same order of magnitude as that of the optical mobility.

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<sup>\*</sup>This is especially true if the one-band model is not valid, and one has to consider overlapping bands. In the metallic state of  $V_2O_3$ , the metallic conductivity could very well be caused by mixed conduction. The Hall measurements, as well as our optical measurements, however, would not be able to give us the values of prevalent parameters in such cases. The one-band model, therefore, represents the simplest approximation.

Finally, a comparison can be made between the value of the optical mobility and Hall mobility with that of the mobility obtained using the following equation.

$$\sigma = n e \mu \quad (4-4)$$

where

$\sigma$  = conductivity,

$\mu$  = mobility, and

n = number of charge carriers.

If we assume a one-band model and assume  $n = 7.84 \times 10^{22} \text{ cm}^{-3}$  and  $\sigma = 5 \times 10^3 (\Omega \cdot \text{cm})^{-1}$  (the resistivity of a bulk  $V_2O_3$  crystal as reported in Chapter II) then  $\mu = 0.4 \text{ cm}^2 / \text{V-sec}$ , which is of the same order of magnitude as the values of Hall mobility and optical mobility described above.

In the oscillator fit method where the values of n and k at 1.96 eV and 2.54 eV were not constrained to approach the measured values, we obtained  $E_n = 3.50 \text{ eV}$  and  $E_c = 0.656 \text{ eV}$ , similar to those values we used in the above calculation. Therefore, similar results can be expected.

Finally, we should point out that the crystals C1 and C2 were cut from the same boule grown in the tri-arc furnace.  $V_2O_3$  crystals grown by the vapor transport technique have also been measured optically. We found that the optical reflectivity spectrum at room temperature of the as-grown crystal resembled that of  $VO_2$  (to be shown later). After

the crystal was lapped, the spectrum became that of  $V_2O_3$  indicating that a small layer of  $VO_2$  had very probably been removed. Since these crystals were very small and often cracked during lapping, they were not used further for definitive determination of the optical properties. Because x-ray, chemical analysis, electrical conductivity measurements and Hall effect measurements all showed that the crystals were  $V_2O_3$ , the  $VO_2$  film must be very thin. The thin film was probably caused by the oxidation that occurred during the shutdown of the vapor transport apparatus. At the end of each crystal run, the furnace and the gas flows were shutdown at the same time. Though the system was supposedly a closed system (see Chapter II), inevitably some air would leak in during the cooling of the furnace causing the surfaces of the crystals to oxidize.

b.  $T < T_t$ .

Figure IV-20 shows the experimental reflectivity data of a  $V_2O_3$  crystal, C1, at  $120^{\circ}\text{K}$  together with the theoretical reflectivity curve obtained from the oscillator fit method. The reflectivity measurements were done in our single beam spectrometer using the optical dewar described in Chapter III. Above 1 eV, the low temperature reflectivity curve is similar to that at room temperature. Below 1 eV, a peak at about 0.8 eV and a shoulder around 0.4 eV appeared.

The optical constants  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  obtained from the oscillator fit are shown in Figs. IV-21, 22, and 23 respectively. The absorption coefficient  $\alpha$  was found to decrease steadily below 1 eV with a shoulder

around 0.4 eV. Using Eq. (3-4b) and the absorption coefficients, the transmission of a thin  $0.5\mu$   $V_2O_3$  crystal was calculated and plotted (see Fig. IV-24). Though the theoretical reflectivity curve does not match exactly with the experimental data (see Fig. IV-20), the structures in the predicted transmission spectrum are quite apparent. When this predicted spectrum is compared with the transmission spectra measured in the single beam spectrometer on thin films of  $V_2O_3$ ,<sup>\*</sup> grown by sputtering and vapor transport techniques, the similarity in shape between them is quite obvious (see Fig. IV-25).

From the transmission spectrum, as well as from the absorption coefficient  $\sigma$  versus photon energy curve, we notice that there is no sharp absorption edge as in germanium and silicon. The absence of a sharp absorption edge was also noted by Feinleib and Paul (3), using a transmission measurement on a thin ( $\sim 25\mu$  thick)  $V_2O_3$  crystal (see Fig. IV-25).

We should point out that the reflectivity spectrum has not been analyzed by the Kramers-Kronig analysis since we do not have the necessary prior knowledge of any of the optical constants in the spectral range of our interest to enable us to select the proper extrapolation parameters for the reflectivity spectrum at both the high and low photon energy regions.

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\* The structural and electrical properties of these films were presented in Chapter II.

In summary, at  $T > T_t$ , we have structures in the  $\epsilon_2$  curve (Fig. IV-7 or 15 or 18) at around 0.6 eV, 1.5 eV, 2.0-2.4 eV, and 4.3 eV. At  $T < T_t$ , structures are observed in the  $\epsilon_2$  curve (Fig. IV-22) at around 0.4 eV, 0.9 eV, 1.5 eV, 2.0-2.4 eV, and 4.3 eV. We will interpret these results in Chapter V.

## 2. $(V_{0.982}Cr_{0.018})_2O_3$

As discussed earlier in Chapters I and II  $(V_{1-x}Cr_x)_2O_3$  crystals would undergo a phase transition from a metallic state into an insulating state at room temperature at a critical chromium concentration  $x \approx 0.010$ . However, x-ray diffraction studies in our doped crystals showed that for  $x = 0.010$  and 0.014, both the metallic and insulating phases coexisted at room temperature. Therefore, to study the optical properties of the insulating state of a doped crystal at room temperature, we chose a  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, which has the largest chromium concentration among all our crystals runs, and which has been shown by x-ray diffraction studies to contain no metallic phase (see Chapter II).

The reflectivity of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal (R1) at room temperature was measured in the single beam spectrometer. As in the case of  $V_2O_3$ , the reflectivity at 1.96 eV was normalized to 22.2%, the value measured in a near-normal incidence reflectivity measurement using a helium-neon laser.

Figure IV-26 shows the theoretical reflectivity curve obtained from the oscillator fit to the experimental reflectivity data. The fit was obtained using Eq. (3-17a) as the expression for the dielectric constant  $\epsilon(\omega)$  and using Eq. (3-21b) as the objective function, that is, the values

of  $n$  and  $k$  at 1.96 eV and 2.54 eV obtained from the oscillator fit method were constrained to approach the measured values of  $n$  and  $k$  at 1.96 eV and 2.54 eV. Table IV-2 shows the list of  $n$  and  $k$  values

Method	At 1.96 eV		At 2.54 eV	
	$n$	$k$	$n$	$k$
Angular Dependence	2.02	1.14	1.86	0.96
Oscillator Fit using Eq. (3-21b)	2.02	1.14	1.85	0.95
Oscillator Fit using Eq. (3-21a)	2.01	1.13	1.86	0.93
Kramers-Kronig $p = 1.2$	2.05	1.11	1.86	0.92
Kramers-Kronig $p = 1.3$	2.02	1.12	1.83	0.94
Kramers-Kronig $p = 1.4$	1.99	1.14	1.80	0.95
Kramers-Kronig $p = 1.5$	1.95	1.15	1.77	0.96

TABLE IV-2. Optical constant  $n$  and  $k$  of a  $(V_{0.982}Cr_{0.018})_2O_3$  crystal (R1) at room temperature, obtained by different methods.

obtained by the different methods we used, and, in particular, shows that by this method, we obtained  $n = 2.02$  and  $k = 1.14$  at 1.96 eV, and  $n = 1.85$  and  $k = 0.96$  at 2.54 eV. These values are very close to those obtained by the angular dependence method. Figures IV-27, 28, and 29 show respectively the plots of  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  versus photon energy obtained from the above fit.

As in the case of the  $V_2O_3$  crystals (C1), the reflectivity spectrum was then fitted using Eq. (3-21a) as the objective function.\* In this case, the optical constants  $n$  and  $k$  at 1.96 eV and 2.54 eV were allowed to take any values. Figure IV-30 shows the theoretical reflectivity curve obtained. The plots of  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  versus photon energy are shown in Figs. IV-31, 32, and 33 respectively.

The values of  $n$  and  $k$  at 1.96 eV and 2.54 eV obtained from this fit are also listed in Table IV-2. They are again similar to those obtained by the angular dependence method.

In the oscillator fit method, the values of the optical constants obtained are obviously dependent on how good a fit we can obtain between the experimental reflectivity data and the theoretical curve. When a poor fit occurs, some fine structures in the optical constants will be lost. This can be illustrated well in the following results. Figure IV-34 shows the theoretical reflectivity curve obtained from the oscillator fit to the experimental data of R1 (using Eq. (3-21a)). Figures IV-35, 36, and 37 show the  $\epsilon_1$ ,  $\epsilon_2$  and  $\alpha$  curves as a function of photon energy. There were some differences between these curves and the corresponding curves shown in Figs. IV-31, 32, and 33, especially at photon energies between 2.0 eV and 2.5 eV where the fit was quite poor. The values of  $n$  and  $k$  obtained from the fit were as follows:

$$\text{at } 1.96 \text{ eV, } n = 1.97 \quad k = 1.15$$

$$\text{at } 2.54 \text{ eV, } n = 1.83 \quad k = 0.94$$

\*The initial values of the parameters in the fitting program were kept the same as those used to obtain the fit shown in Fig. IV-26.

These values were not as close to those obtained from the angular dependence measurements as those values obtained from the fits reported earlier.

Despite some difference, however, when the plots of  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  versus photon energy obtained from all the fits using either Eq. (3-21a) or Eq. (3-21b) were compared with one another, the resultant curves were similar.

Kramers-Kronig analysis of the reflectivity spectrum yielded results similar to those obtained from the oscillator fit method and they are shown in Figs. IV-38, 39, and 40. As in the case of  $V_2O_3$ , the values of  $p$  in Eq. (3-11) were varied from 0.0 to 5.0 by increments of 0.1. Four values of  $p$ , namely 1.2, 1.3, 1.4, and 1.5, were obtained which gave  $n$  and  $k$  values at 1.96 eV and 2.54 eV that were within  $\pm 5\%$  of the measured values. The values of  $n$  and  $k$  corresponding to each of the four values of  $p$  are listed in Table IV-2, judging from which, both  $p = 1.3$  and  $p = 1.4$  gave very good fits between the calculated and measured values of  $n$  and  $k$ . Since for  $p = 1.3$ , we got a slightly better match (the same criteria as used in  $V_2O_3$ ), Figs. IV-38 and 39 were plotted with  $p = 1.3$ . In Fig. IV-40,  $\alpha$  was plotted as a function of photon energy for both  $p = 1.3$  and  $p = 1.4$ ; a slight difference in the curves was observed, indicating uncertainty arising from extrapolation.

In summary, as in  $V_2O_3$  the optical constants of R1 obtained from the above three different approaches gave essentially the same results.

The  $\epsilon_2$  versus photon energy curve, obtained by any of the three approaches, shows a strong peak at around 0.6 eV, and structures at around 1.5 eV, 2.0-2.4 eV and 4.3 eV. The positions of these structures are essentially in the same location as those in  $V_2O_3$  at room temperature, with one marked difference: the absorption coefficient in  $(V_{0.982}Cr_{0.018})_2O_3$  decreases more sharply after 1 eV than it does  $V_2O_3$ . In fact,  $\alpha$  at 0.2 eV in the doped crystal is only  $2 \times 10^4 \text{ cm}^{-1}$  while in  $V_2O_3$  at 0.2 eV,  $\alpha$  is  $1.5 \times 10^5 \text{ cm}^{-1}$ . Further discussion of these optical results will be presented in Chapter V.

3.  $VO_2$ . Optical reflectivity and transmission results on  $VO_2$  single crystals have been reported by Ladd and Paul (1) and by Ladd (2). The reflectivity spectra reported by Ladd (2) on one of the thin samples used for his transmission measurements were fitted by our oscillator fit method, and the resultant optical constants are discussed here.

a.  $T > T_t$

Figure IV-41 shows the theoretical reflectivity curve obtained from an oscillator fit method to the experimental reflectivity data reported (2). The resultant plots of  $\epsilon_1$ ,  $\epsilon_2$ , and  $\alpha$  (obtained by using Eq. (3-21a)) as a function of photon energy are shown in Figs. IV-42, 43, and 44. Structures are observed at  $\sim 0.7 \text{ eV}$ ,  $2.9 \text{ eV}$  and  $3.5 \text{ eV}$  in the  $\epsilon_2$  curve. We also obtained parameters of the free electron contribution using the oscillator fit method:  $E_n = 3.63 \text{ eV}$  and  $E_c = 0.500 \text{ eV}$ . In  $VO_2$ , there are

$3.15 \times 10^{22}$  vanadium ions  $\text{cm}^{-3}$ . As mentioned in Chapter I, there is only one outer d electron per vanadium ion left after all the bonding requirements are fulfilled. If we assume a one-band model\* and these outer electrons all became conduction electrons, then  $n_c$  in Eq. (4-2) would become  $3.15 \times 10^{22} \text{ cm}^{-3}$ . Using the above values of  $E_n$ ,  $E_c$  and  $n_c$  in Eq. (4-2) and Eq. (4-3), we then obtain  $m^* = 3.3m_e$  and  $\mu_{\text{opt}} = 0.7 \text{ cm}^2/\text{V}\cdot\text{cm}$ . From Eq. (4-3), we obtain  $\tau_c = 1.4 \times 10^{-15} \text{ sec}$ .

Hall effect measurements have been done in the metallic state of  $\text{VO}_2$  by Barker et al. (10) and Rosevear and Paul (7). Barker et al. measured  $R_H\sigma = 16 \text{ cm}^2/\text{V}\cdot\text{sec}$ , which would correspond, in a one-band model, to a Hall mobility of  $16 \text{ cm}^2/\text{V}\cdot\text{sec}$  and a Hall electron concentration of  $3 \times 10^{21} \text{ cm}^{-3}$ . Rosevear and Paul, however, obtained  $R_H\sigma = 0.35 \pm 0.05 \text{ cm}^2/\text{V}\cdot\text{sec}$ , which would correspond, in a one-band model, to a Hall mobility of  $0.35 \pm 0.05 \text{ cm}^2/\text{V}\cdot\text{sec}$  and a Hall electron concentration of  $(1.2 \pm 0.2) \times 10^{23} \text{ cm}^{-3}$ . This electron concentration is approximately four times the maximum number of conduction electrons allowed, which suggests that the one-band model may not be correct and that there is two-band conduction in the metallic state.

Again, for the purpose of obtaining order of magnitude, we can use the one-band model to obtain the carrier mobility using Eq. (4-4). By assuming  $n_c = 3.15 \times 10^{22} \text{ cm}^{-3}$ ,  $\sigma = 10^4 (\Omega\cdot\text{cm})^{-1}$  (the resistivity of bulk  $\text{VO}_2$  at its metallic state as measured by Ladd and Paul (1)),

\* The reason that we consider only a one-band model is the same as for the case of  $\text{V}_2\text{O}_3$ , and will not be repeated here.

we obtained  $\mu = 2 \text{ cm}^2/\text{V-sec}$  which is again of the same order of magnitude as the values of the Hall mobility and the optical mobility reported above.

b.  $T < T_t$

Figure IV-45 shows the theoretical reflectivity curve obtained by fitting the experimental reflectivity data reported (2). Plots of  $\epsilon_1$  and  $\epsilon_2$  versus photon energy are shown in Figs. IV-46 and 47. In the  $\epsilon_2$  curve, we observe structures at  $\sim 1.1 \text{ eV}$ ,  $3.0 \text{ eV}$  and  $3.6 \text{ eV}$ .

Figure IV-48 shows a plot of an absorption coefficient  $\alpha$  as a function of photon energy. The absorption coefficient shows an absorption edge at  $E < \sim 1.1 \text{ eV}$ , with  $\alpha \approx 1.2 \times 10^4 \text{ cm}^{-1}$  at  $0.6 \text{ eV}$ . Ladd (2) reported that from his transmission measurement,  $\alpha$  of this crystal should be about  $5 \times 10^3 \text{ cm}^{-1}$ . The discrepancy between the calculated and measured values could be due to several factors; 1) experimental errors in measuring the reflectivity and transmission curves, 2) the uncertainties in the oscillator fit method that arise in fitting an absorption edge (as discussed in Chapter III), and/or 3) the uncertainties, estimated by Ladd (2) to be about  $\pm 10\%$ , in the crystal thickness, but which, alone, would not explain all the discrepancy; one or both of the first two factors must also have played a part.

Despite the discrepancy in the measured and calculated values of  $\alpha$  at  $0.6 \text{ eV}$ , it is still apparent that there is an absorption edge near  $0.6 \text{ eV}$  though not as sharp as in germanium and silicon (see Fig. IV-49, where in addition to the values of  $\alpha$  derived from Ladd's results, we

also included that  $\alpha$ -vs-photon energy curves reported by Verleur et al. (12)) and this fact confirms the transmission measurement on single crystals of  $\text{VO}_2$  by Ladd and Paul (1) and the transmission measurement of thin films of  $\text{VO}_2$  by Verleur et al. (12). This absorption edge was further demonstrated by our transmission measurement of a  $\text{VO}_2$  film grown by the vapor transport technique — the electrical and the structural properties of the film have been shown in Chapter II. Figure IV-50 shows the transmission and the apparent reflectivity of the film in both the metallic state and the insulating state. Though the absolute value in reflectivity is different from that of bulk crystals, because of the surface roughness of the film, the general shape of the spectra of the film and of the bulk crystals is very similar (see Figs. IV-41, 45).

D. Optical Reflectivity Studies of Metal-Insulator Transitions  
in  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$

As we have discussed in Chapter III, McWhan, Remeika et al. (13, 14, 15) observed a first order metal-to-insulator transition in  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  with an increase in temperature in a narrow range of chromium compositions ( $x$  = a value between  $\sim 0.005$  and  $\sim 0.016$ ). In optical measurements on single crystals in this composition range, we have observed abrupt changes in optical reflectivity as a function of temperature which are presumably associated with the metal-insulator transition; such abrupt changes had not been observed in previous reflectivity measurements (16). The single crystals were unoriented,

we obtained  $\mu = 2 \text{ cm}^2/\text{V-sec}$  which is again of the same order of magnitude as the values of the Hall mobility and the optical mobility reported above.

b.  $T < T_t$

Figure IV-45 shows the theoretical reflectivity curve obtained by fitting the experimental reflectivity data reported (2). Plots of  $\epsilon_1$  and  $\epsilon_2$  versus photon energy are shown in Figs. IV-46 and 47. In the  $\epsilon_2$  curve, we observe structures at  $\sim 1.1 \text{ eV}$ ,  $3.0 \text{ eV}$  and  $3.6 \text{ eV}$ .

Figure IV-48 shows a plot of an absorption coefficient  $\alpha$  as a function of photon energy. The absorption coefficient shows an absorption edge at  $E < \sim 1.1 \text{ eV}$ , with  $\alpha \approx 1.2 \times 10^4 \text{ cm}^{-1}$  at  $0.6 \text{ eV}$ . Ladd (2) reported that from his transmission measurement,  $\alpha$  of this crystal should be about  $5 \times 10^3 \text{ cm}^{-1}$ . The discrepancy between the calculated and measured values could be due to several factors; 1) experimental errors in measuring the reflectivity and transmission curves, 2) the uncertainties in the oscillator fit method that arise in fitting an absorption edge (as discussed in Chapter III), and/or 3) the uncertainties, estimated by Ladd (2) to be about  $\pm 10\%$ , in the crystal thickness, but which, alone, would not explain all the discrepancy; one or both of the first two factors must also have played a part.

Despite the discrepancy in the measured and calculated values of  $\alpha$  at  $0.6 \text{ eV}$ , it is still apparent that there is an absorption edge near  $0.6 \text{ eV}$  though not as sharp as in germanium and silicon (see Fig. IV-49, where in addition to the values of  $\alpha$  derived from Ladd's results, we

also included that  $\alpha$ -vs-photon energy curves reported by Verleur et al. (12)) and this fact confirms the transmission measurement on single crystals of  $\text{VO}_2$  by Ladd and Paul (1) and the transmission measurement of thin films of  $\text{VO}_2$  by Verleur et al. (12). This absorption edge was further demonstrated by our transmission measurement of a  $\text{VO}_2$  film grown by the vapor transport technique — the electrical and the structural properties of the film have been shown in Chapter II. Figure IV-50 shows the transmission and the apparent reflectivity of the film in both the metallic state and the insulating state. Though the absolute value in reflectivity is different from that of bulk crystals, because of the surface roughness of the film, the general shape of the spectra of the film and of the bulk crystals is very similar (see Figs. IV-41, 45).

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mechanically polished samples, and optical reflectivity measurements \* were made in the ratio reflectometer described in Chapter III.

Five samples were measured, namely,  $x = 0$  (B1 from Run #1, see Table II-3),  $x = 0.0022$  (Run #3),  $x = 0.0047$  (Run #5),  $x = 0.010$  (Run #7), and  $x = 0.014$  (Run #8). For  $x = 0$ ,  $x = 0.0022$  and  $x = 0.0047$ , a high temperature optical sample holder was used. For  $x = 0.010$  and  $x = 0.014$ , an optical low temperature dewar was used. Both the high temperature sample holder and the dewar were described in Chapter III.

Two types of reflectivity-versus-temperature behavior were observed. For the  $V_2O_3$  crystal and the  $(V_{1-x}Cr_x)_2O_3$  crystal where  $x = 0.0022$ , the reflectivity at 0.65 eV decreased continuously with increasing temperature and did not exhibit any hysteresis. These curves are shown in Figs. IV-51 and IV-52; in both cases, we noticed that a somewhat anomalous variation occurred between  $400^{\circ}\text{K}$  and  $500^{\circ}\text{K}$ . This anomaly is presumably associated with the second order transition that takes place in this temperature interval, as evidenced by electrical measurements (3), and x-ray measurements (13). It is difficult to assign the transition temperatures  $T_t$  for these two samples. The transition temperature of each of the two samples was taken as the average of the temperatures where the reflectivity-versus-temperature curve begins to depart from the straight line extrapolation at both the high temperature and low temperature ends. For  $x = 0$ , we obtained  $T_t \approx 465^{\circ}\text{K}$ , and for  $x = 0.0022$ ,  $T_t \approx 435^{\circ}\text{K}$ . These values of  $T_t$  are,

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\* In collaboration with Dr. Paul Raccah.

subject to some uncertainty. Figure IV-53\* and Fig. IV-54 show the reflectivity-versus-photon energy curves of the two samples at different temperatures. There are a few interesting features in these curves: 1) the reflectivity-versus-photon energy curves at room temperature remained the same before and after the temperature cycle, indicating the surfaces of the crystals did not oxidize in the protective atmosphere of the forming gas; 2) the structure near 1.5 eV is visible at all temperatures, and 3) the reflectivity of the samples at photon energy above  $\sim 1.8$  eV remained the same at all temperatures (within the experimental uncertainty of the optical setup).

For samples with  $x = 0.0047$ ,  $x = 0.010$  and  $x = 0.014$ , abrupt changes in reflectivity were observed with large hysteresis on temperature cycling. Figures IV-55, 56, and 57 show the reflectivity at 0.65 eV as a function of temperature of these crystals. Abrupt reflectivity changes were observed in all these crystals. Such abrupt changes are presumably associated with the abrupt changes in the electrical measurements reported by McWhan and Remeika (13), who described this transition as a first order transition with some characteristics of a Mott

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\* The reflectivity-versus-photon energy curve of B1 did not match very well with that of C1 or C2. This is not so surprising since the crystals were grown in different crystal runs. A slight change in stoichiometry could cause a change in the number of charge carriers in the crystals ( $V_2O_3$  crystals were found to have different resistivities at room temperature (3,13)). This change in charge carrier density will affect the optical reflectivity spectrum, especially in the free electron absorption region.

transition. For those crystals that underwent the first order phase transition, there was evidence that the crystals cracked on going through the phase transition; the cracking was observed partly from the changes in reflectivity at room temperature before and after the temperature cycling, and partly from the cracks visible after the temperature cycle. In fact, the crystal at  $x = 0.0047$ , as grown, already had some fine cracks. This was due to the fact that the crystal on cooling down from the melting temperature during the growth process had already undergone a phase transition. Because of the problem of crystal cracking, slight optical adjustments were done to focus the incident light on the best spot of each crystal (that is, the reflectivity value is maximum at this spot). In some cases, no apparent improvement was observed, and in others, noticeable improvements were observed. Though part of the reflectivity changes observed was indeed due to crystal cracking (for example, the reflectivity of the doped crystal at room temperature, as shown in Fig. IV-55, was lower after the temperature cycling), it is apparent that most of the abrupt reflectivity changes at the phase transition must have been due to the transition itself. Crystal cracking could cause only decreases in reflectivity values, and could not explain the sudden increases observed in reflectivity values.

Figures IV-58, 59, and 60 show the reflectivity-versus-photon energy curves at different temperatures for samples with  $x = 0.0047$ ,  $x = 0.010$  and  $x = 0.014$ . An interesting point is that at low photon energy, the reflectivity of the metallic state of the doped crystals is not as high as that of undoped  $V_2O_3$  crystals — this is especially

noticeable at photon energy near 0.6 eV. It indicates that the so-called metallic state of the doped crystals is different from that of the undoped crystal; this fact corresponds to the findings of McWhan et al. (13) who reported that the resistivity of the metallic state of the doped crystal  $(V_{0.990}Cr_{0.010})_2O_3$  was about two orders of magnitude higher than that of the undoped crystals.

Other points of interest are: 1) the structure at  $\sim 1.5$  eV is visible at all temperatures; and 2) the reflectivity of the metallic state of the doped crystals is lower than that of the insulating state for photon energy above 1.2 eV. Though it might not be very appropriate to compare the metallic state of  $V_2O_3$  with that of a doped crystal, at room temperature, we found that at 1.96 eV the reflectivity of  $V_2O_3$  crystals C1 and C2 (metallic state) is about 20%. This value is indeed lower than that of a crystal of  $(V_{1-x}Cr_x)_2O_3$ , R1, where  $x = 0.018$ ; at room temperature the crystal is in its insulating state and its reflectivity at 1.96 eV is about 22%.

Table IV-3 lists the transition temperature  $T_t$  for the crystals we measured, and Fig. IV-61 is a plot of these temperatures as a function of chromium concentration, indicating clearly the two types of phase transition. A discussion of the mechanism or mechanisms of the transition will be presented in Chapter V.

In summary, in this chapter, we have presented optical measurements on  $V_2O_3$  and  $(V_{1-x}Cr_x)_2O_3$ . Optical constants were obtained from angular dependence measurements, and from reflectivity spectra using the oscillator fit method and Kramers-Kronig analysis. In Chapter V, we will further interpret these optical results and their implications.

Composition x	Transition Temperature		Average Transition Temperature
	Metal to Insulator	Insulator to Metal	
0		$\sim 465^{\circ}\text{K}$	$\sim 465^{\circ}\text{K}$
0.0022		$\sim 435^{\circ}\text{K}$	$\sim 435^{\circ}\text{K}$
0.0047	$436^{\circ}\text{K}$	$377^{\circ}\text{K}$	$406^{\circ}\text{K}$
0.010	$352^{\circ}\text{K}$	$286^{\circ}\text{K}$	$319^{\circ}\text{K}$
0.014	$303^{\circ}\text{K}$	$232^{\circ}\text{K}$	$268^{\circ}\text{K}$

TABLE IV-3. Transition temperatures obtained  
in reflectivity measurements on  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$

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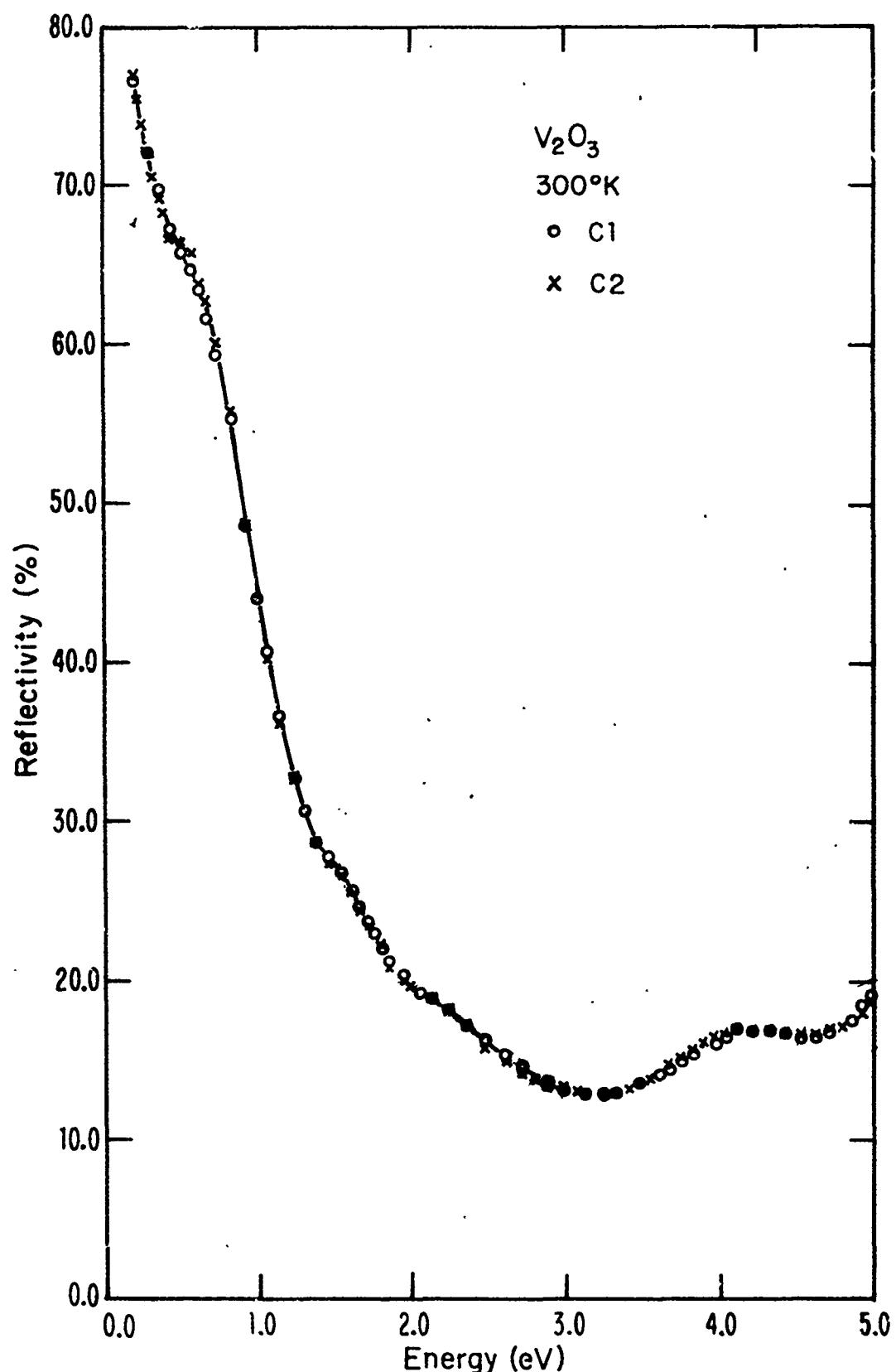


FIGURE IV-1 The reflectivity of two  $\text{V}_2\text{O}_3$  crystals C1 and C2 at 300°K

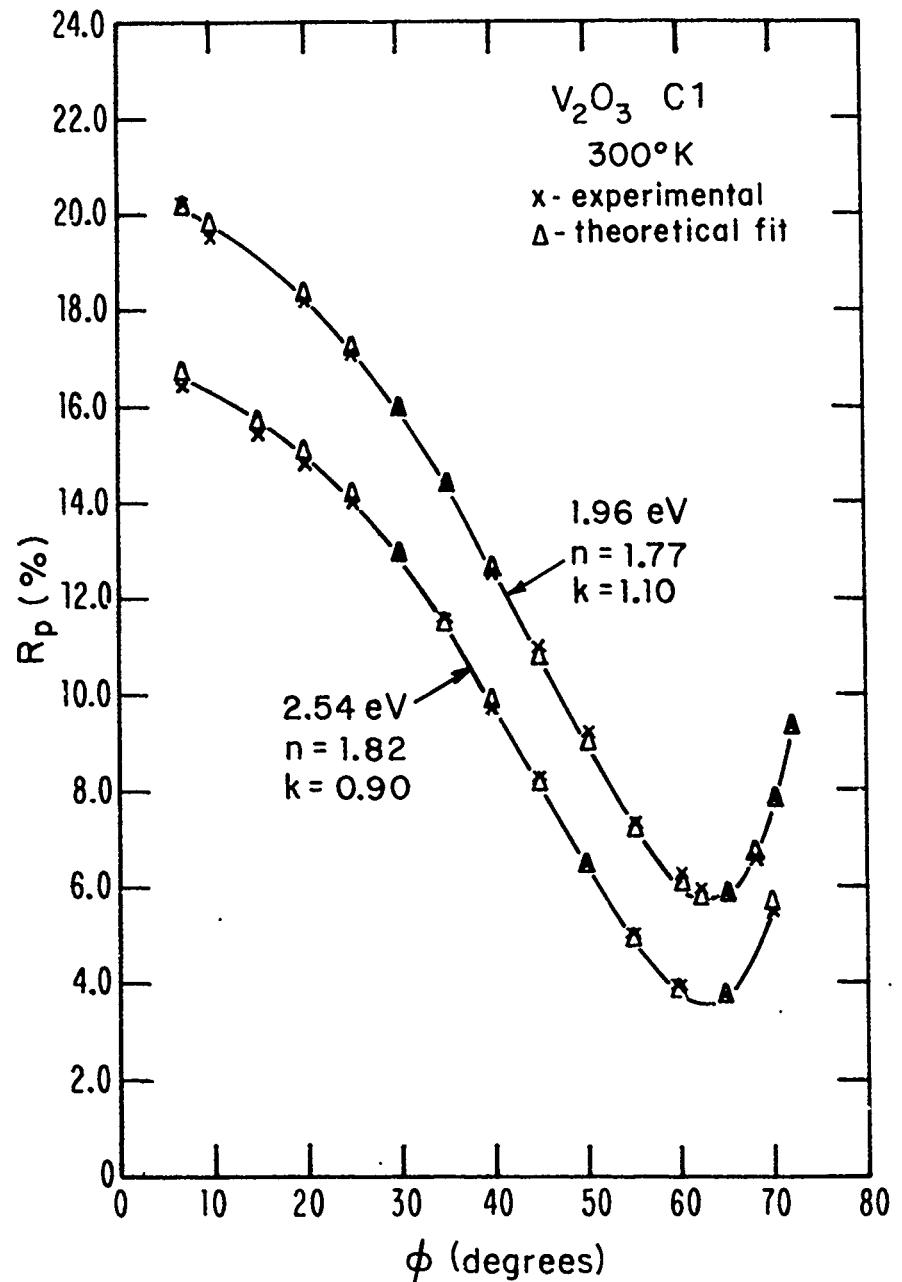


FIGURE IV-2 The reflectivity of a  $V_2O_3$  crystal (C1) as a function of incidence angle  $\phi$ .

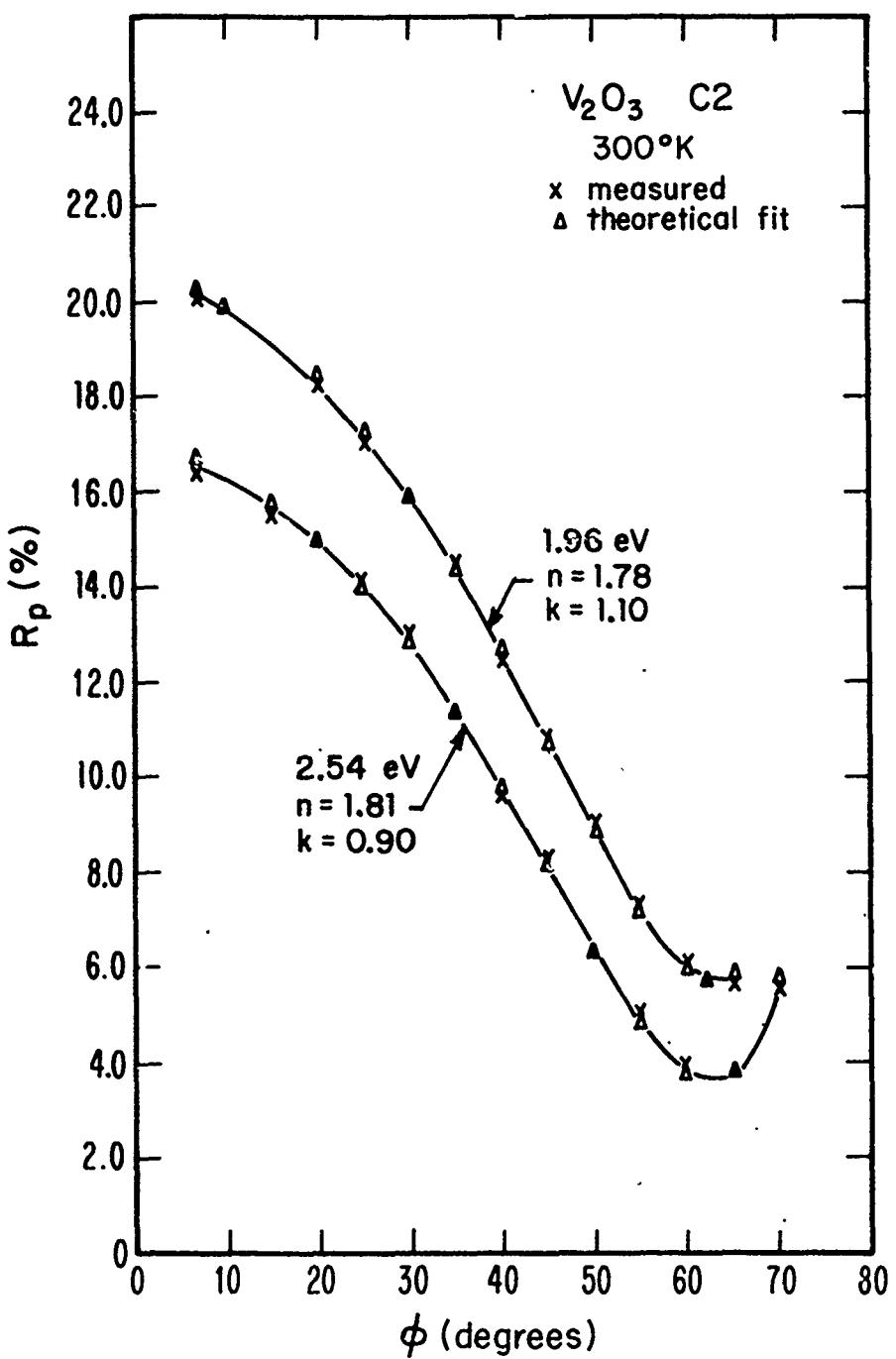


FIGURE IV-3 The reflectivity of a  $V_2O_3$  crystal (C2) as a function of incidence angle  $\phi$ .

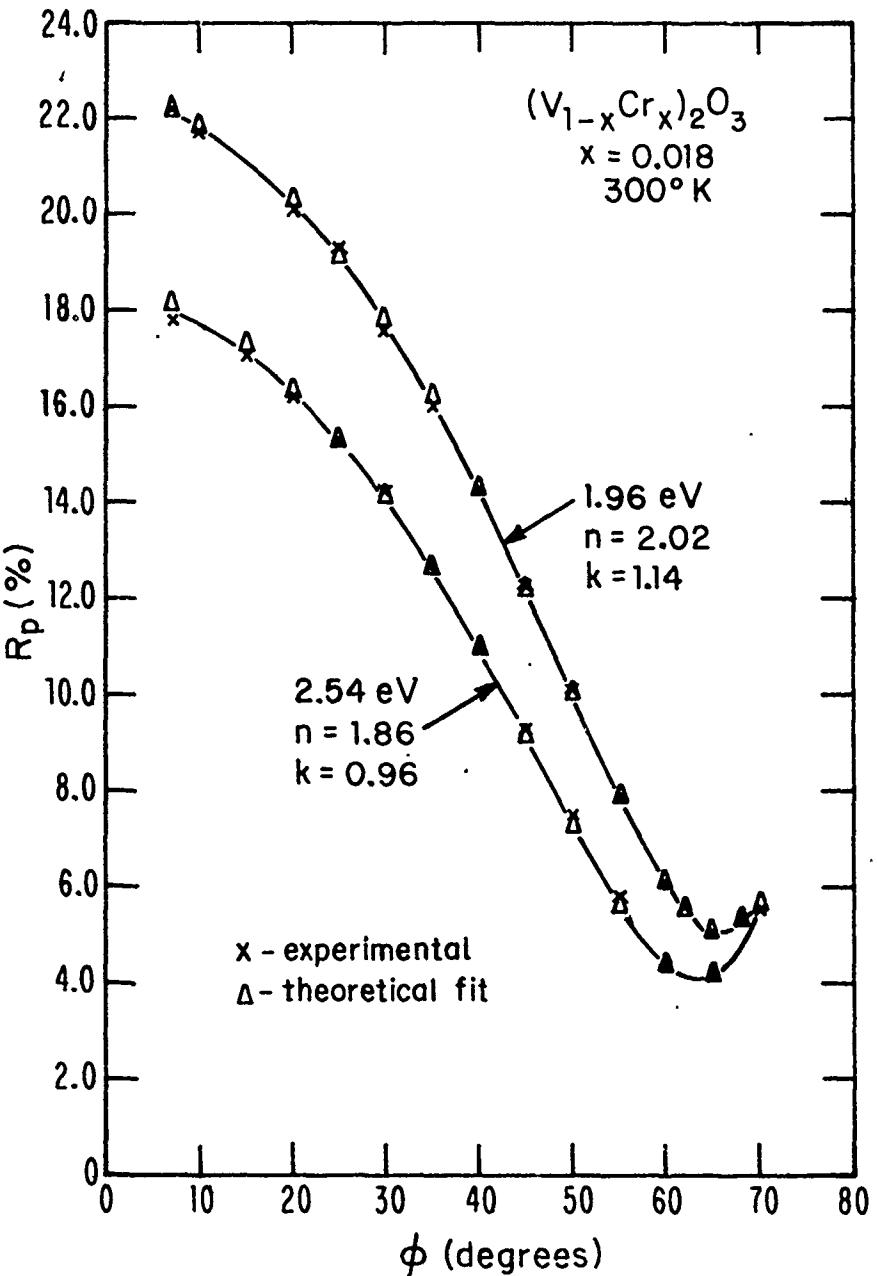


FIGURE IV-4. The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal where  $x=0.018$  as a function of incidence angle  $\phi$ .

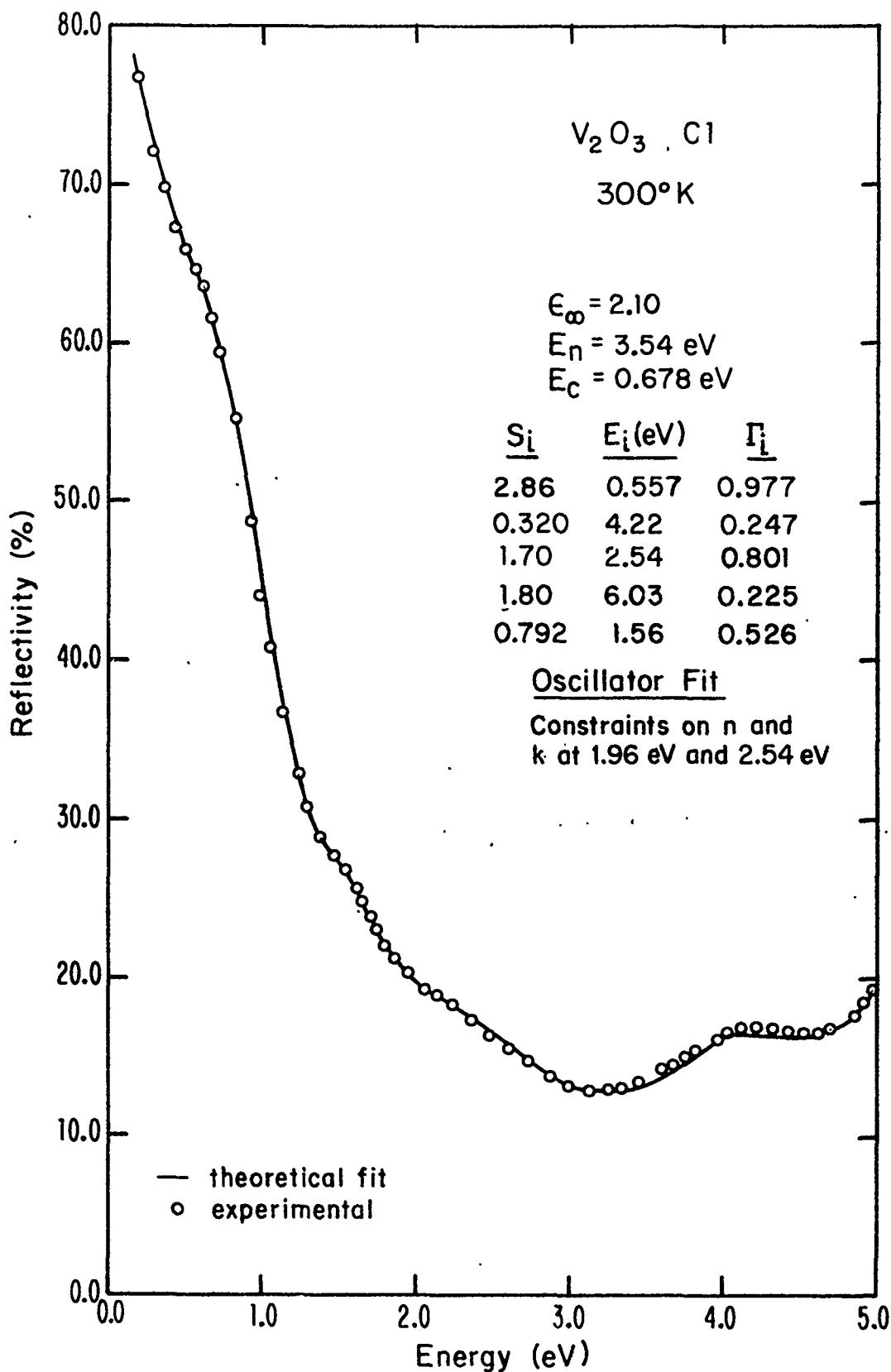


FIGURE IV-5 A theoretical fit to the experimental reflectivity data of CI by the oscillator fit method where  $n$  and  $k$  at 1.96 eV and 2.54 eV are constrained to approach those obtained from the angular dependence measurements.

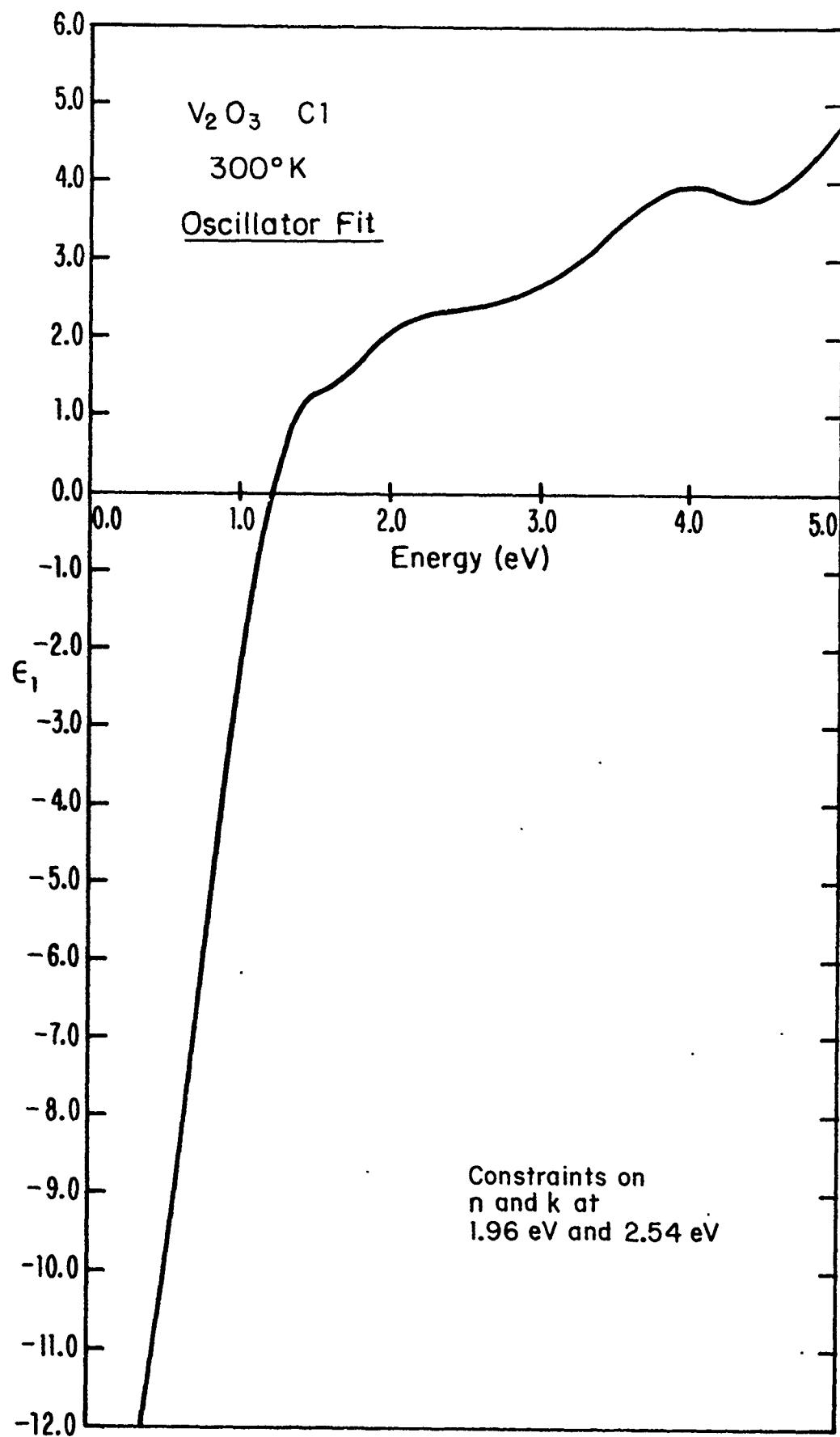


FIGURE IV-6  $\epsilon_1$  curve of C1, obtained from the fit shown in Fig. IV-5.

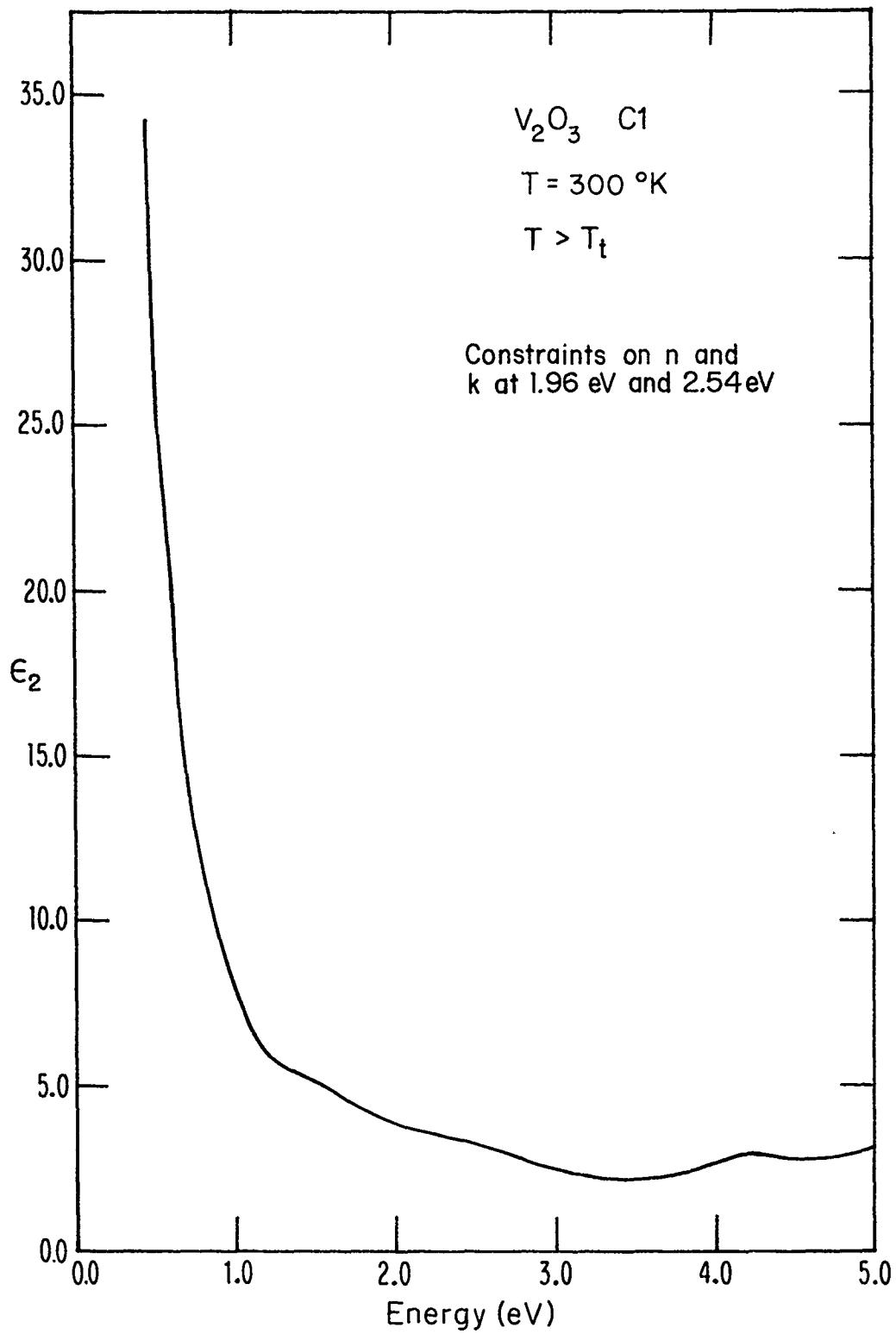


FIGURE IV-7  $\epsilon_2$  curve of C1, obtained from the fit shown in Fig. IV-5

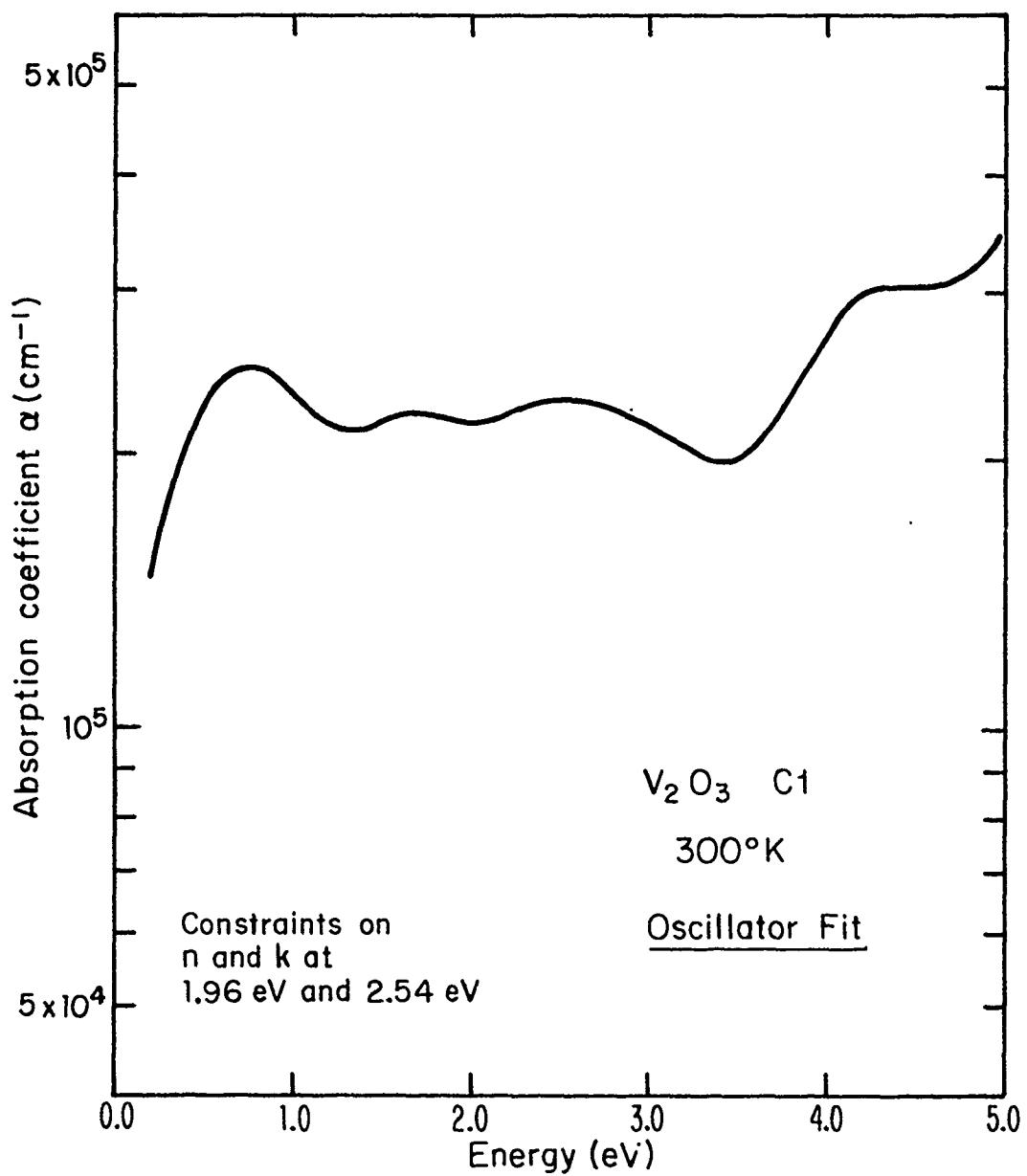


FIGURE IV-8  $\alpha$  curve of C1, obtained from the fit shown in Fig. IV-5.

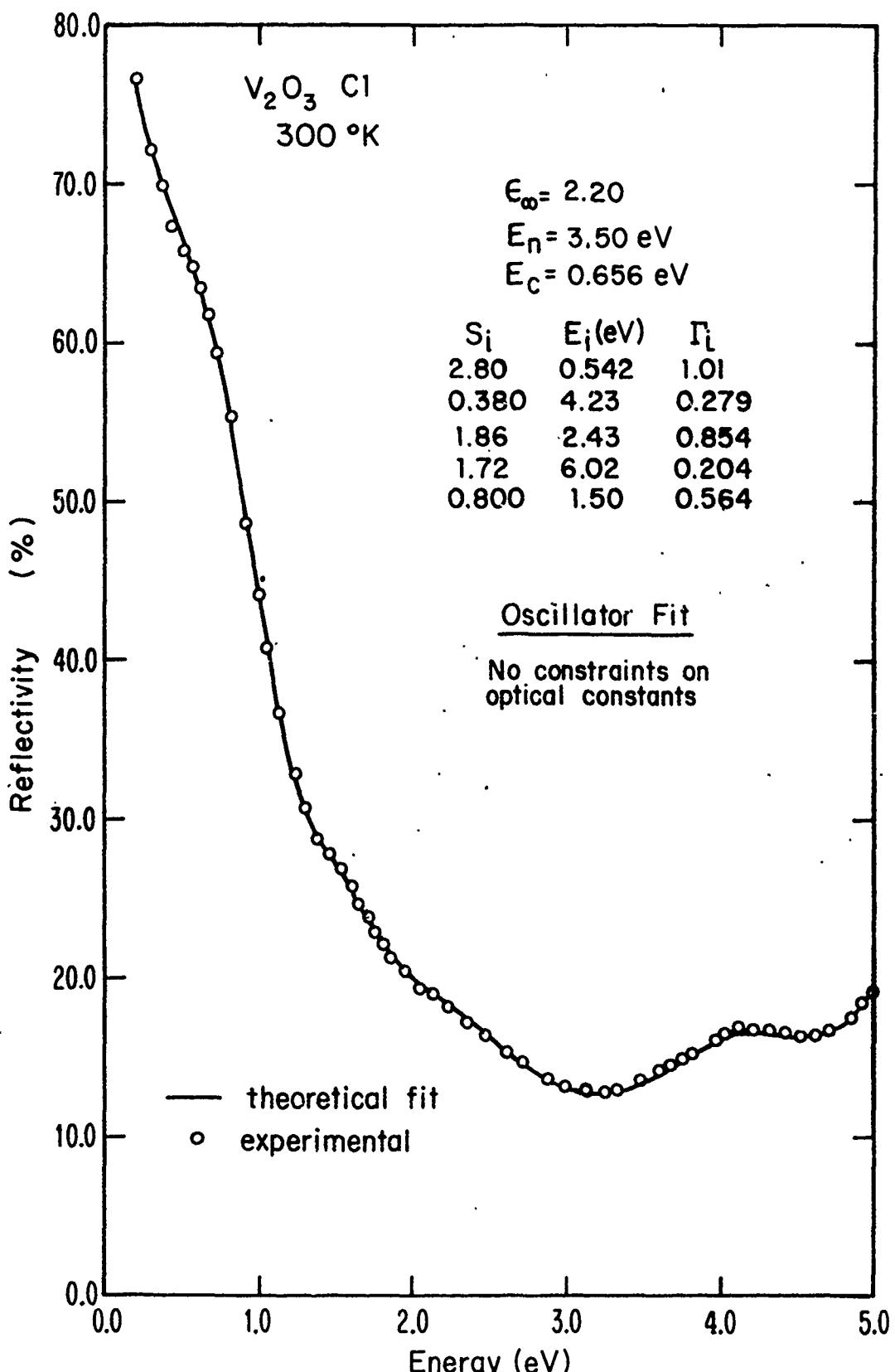


FIGURE IV-9 A theoretical fit to the experimental reflectivity data of C1 by the oscillator fit method where  $n$  and  $k$  at 1.96 eV and 2.54 eV are not constrained.

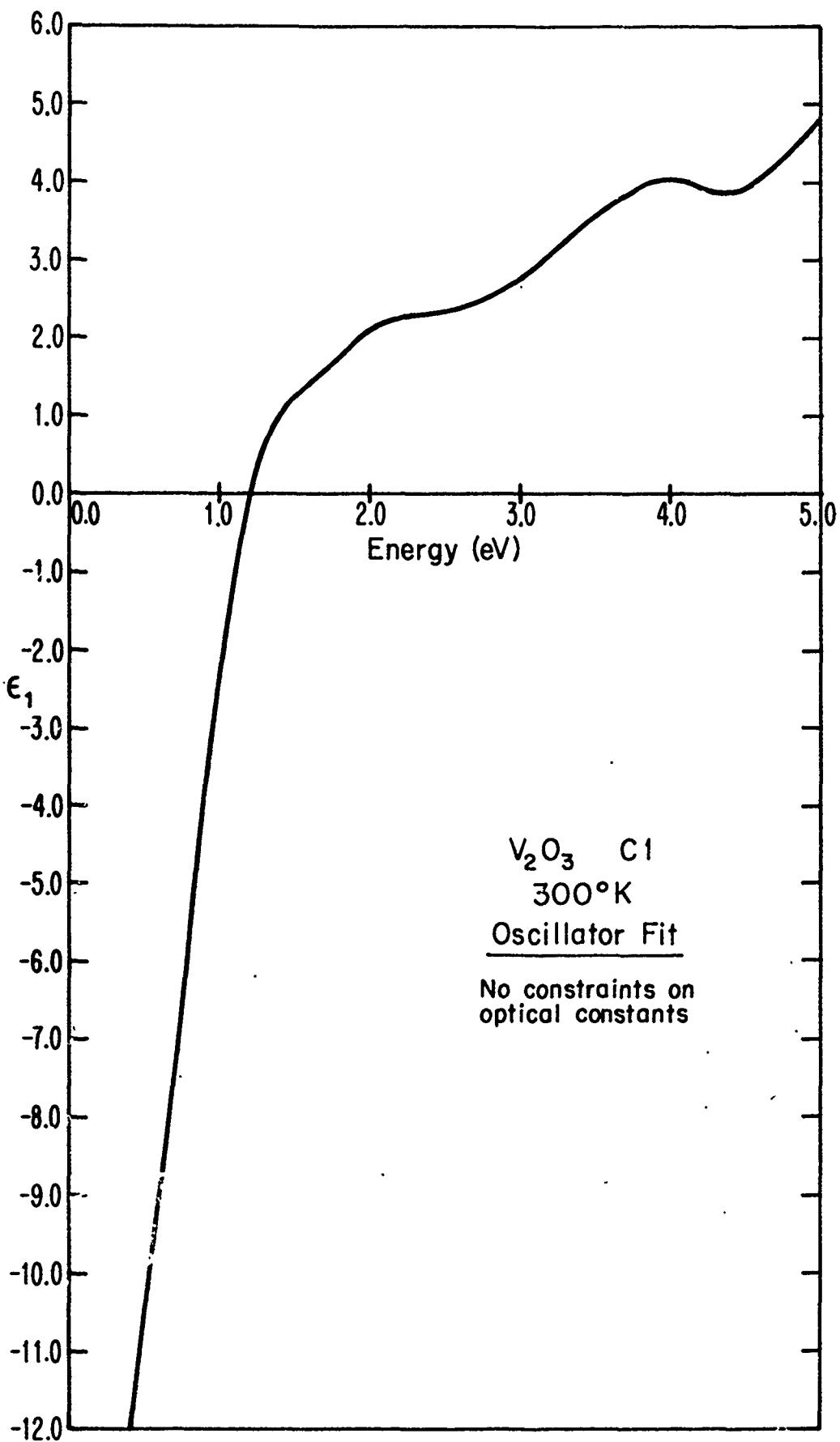


FIGURE IV-10  $\epsilon_1$  curve of C1, obtained from the fit shown in Fig. IV-9

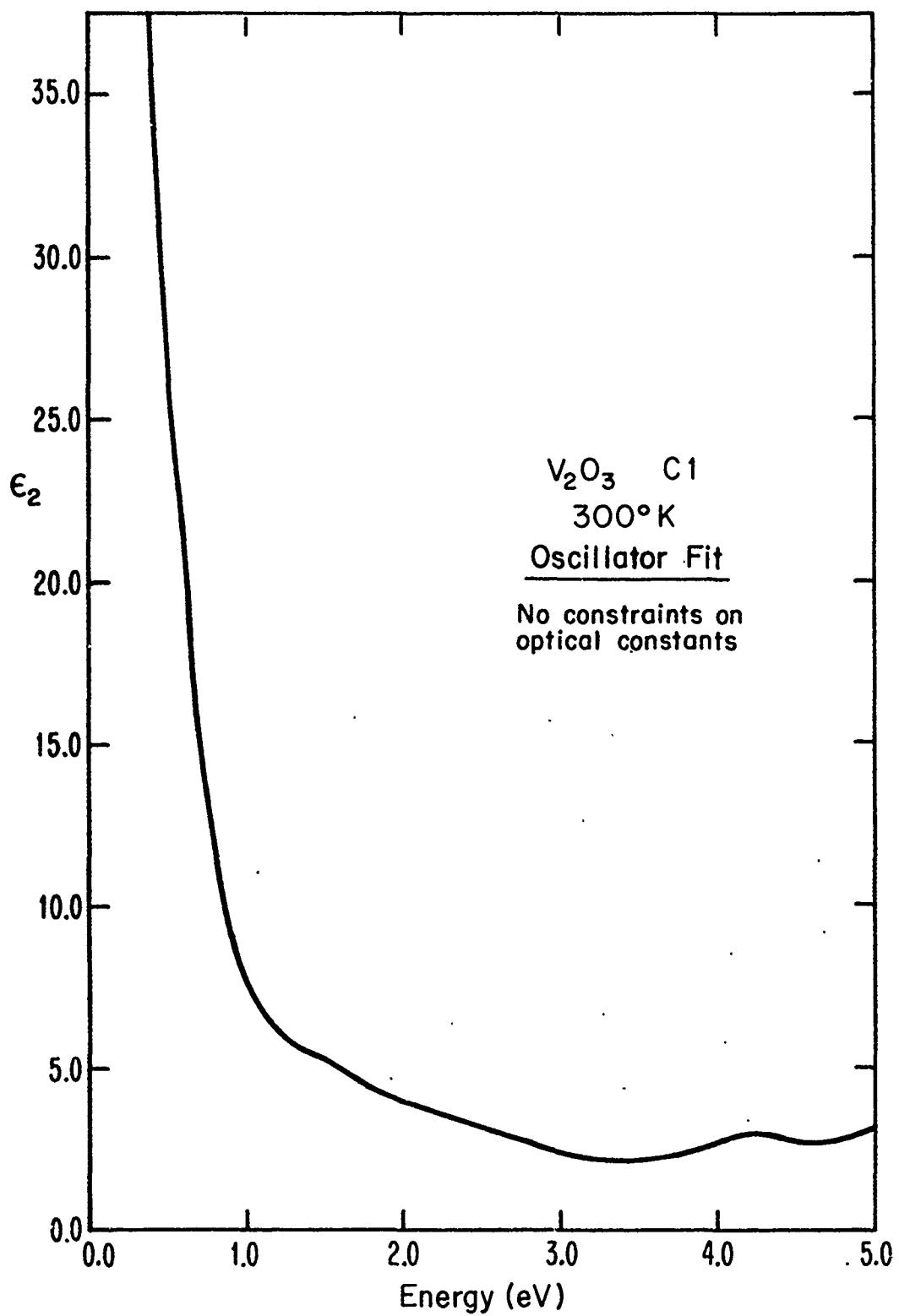


FIGURE IV-11  $\epsilon_2$  curve of C1, obtained from the fit shown in Fig. IV-9.

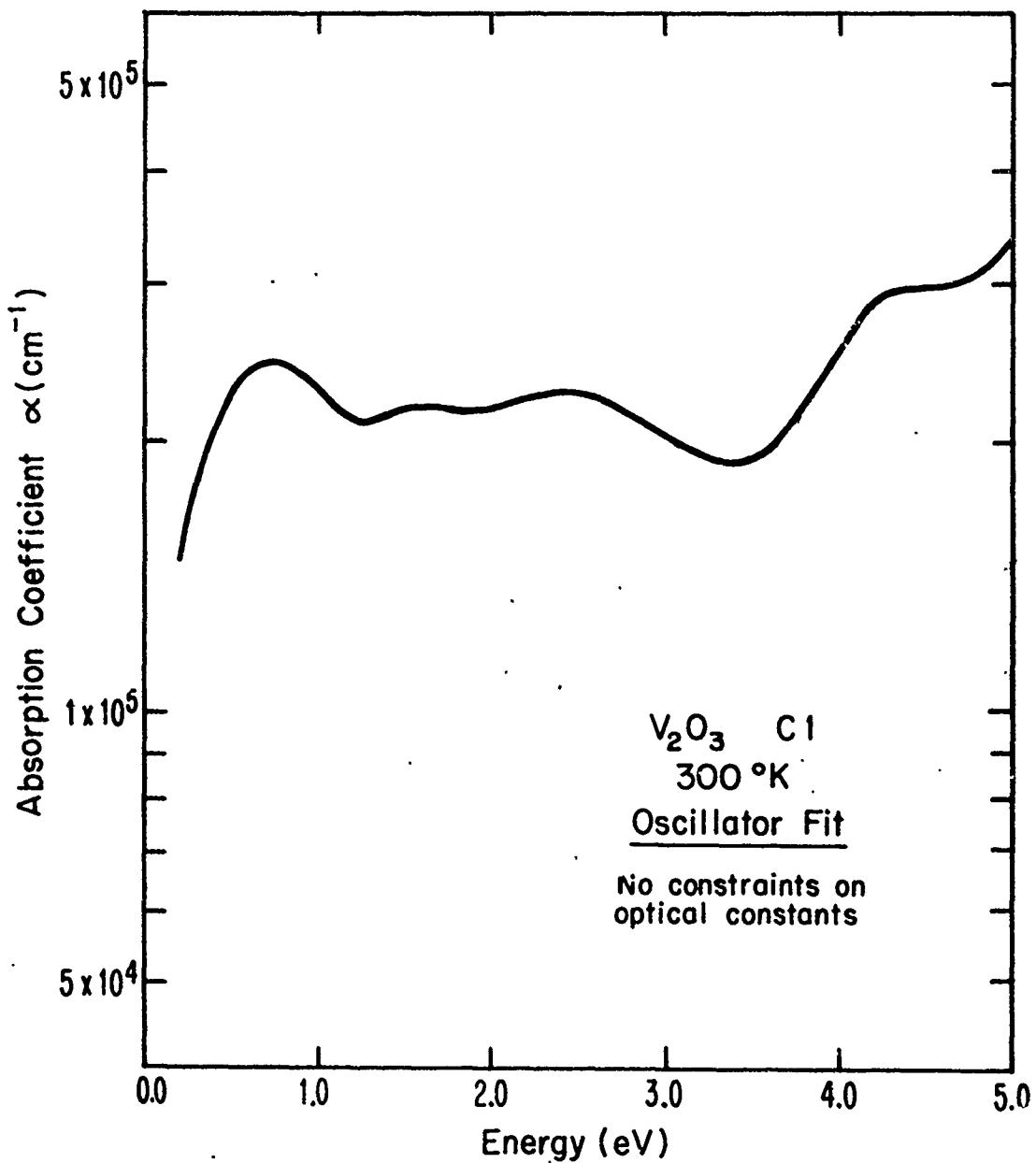


FIGURE IV-12  $\alpha$  curve of C1, obtained from the fit shown in Fig. IV-9.

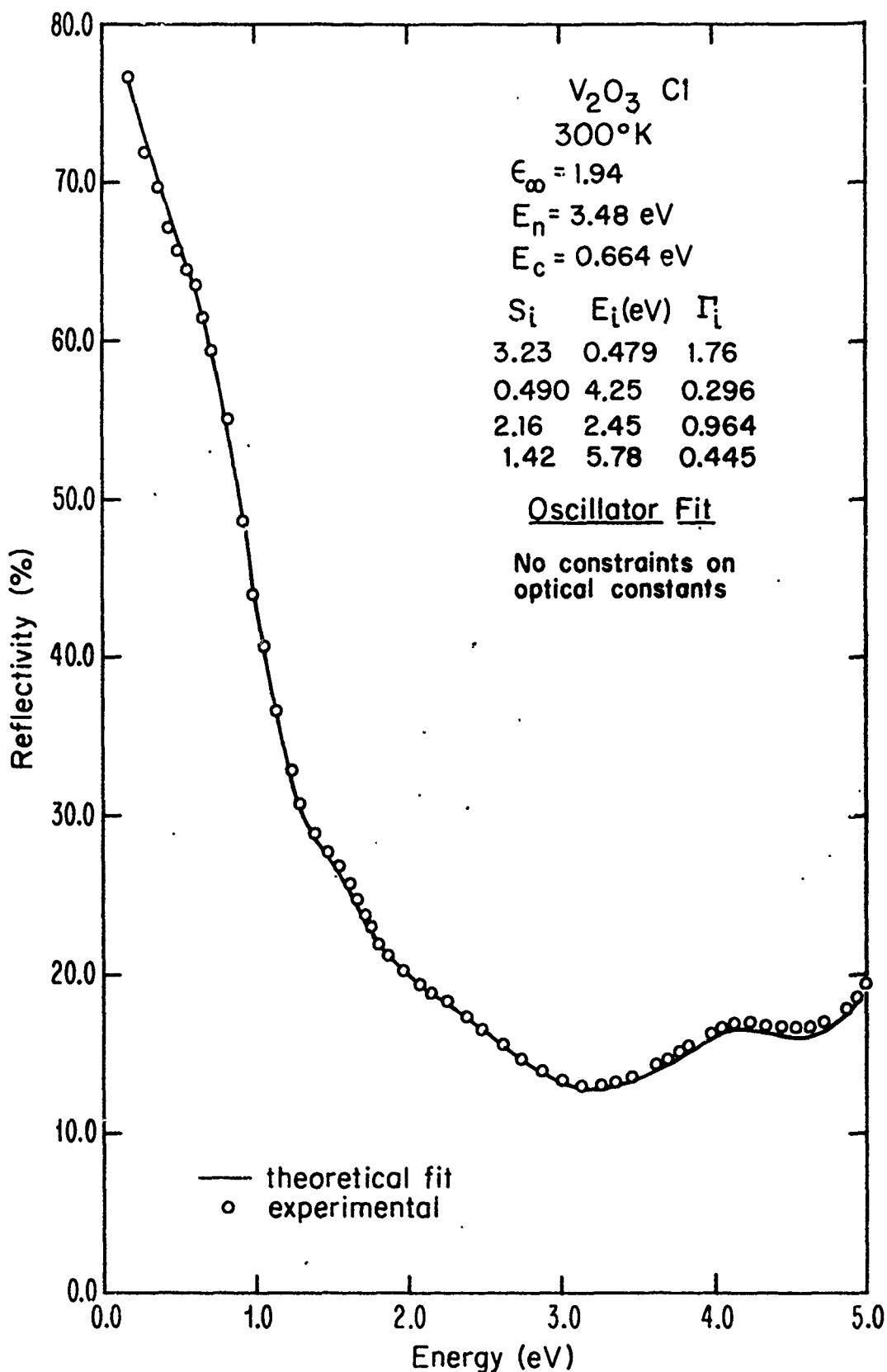


FIGURE IV-13 A theoretical fit to the experimental reflectivity data of C1 by the oscillator fit method where  $n$  and  $k$  at 1.96 eV and 2.54 eV are not constrained.

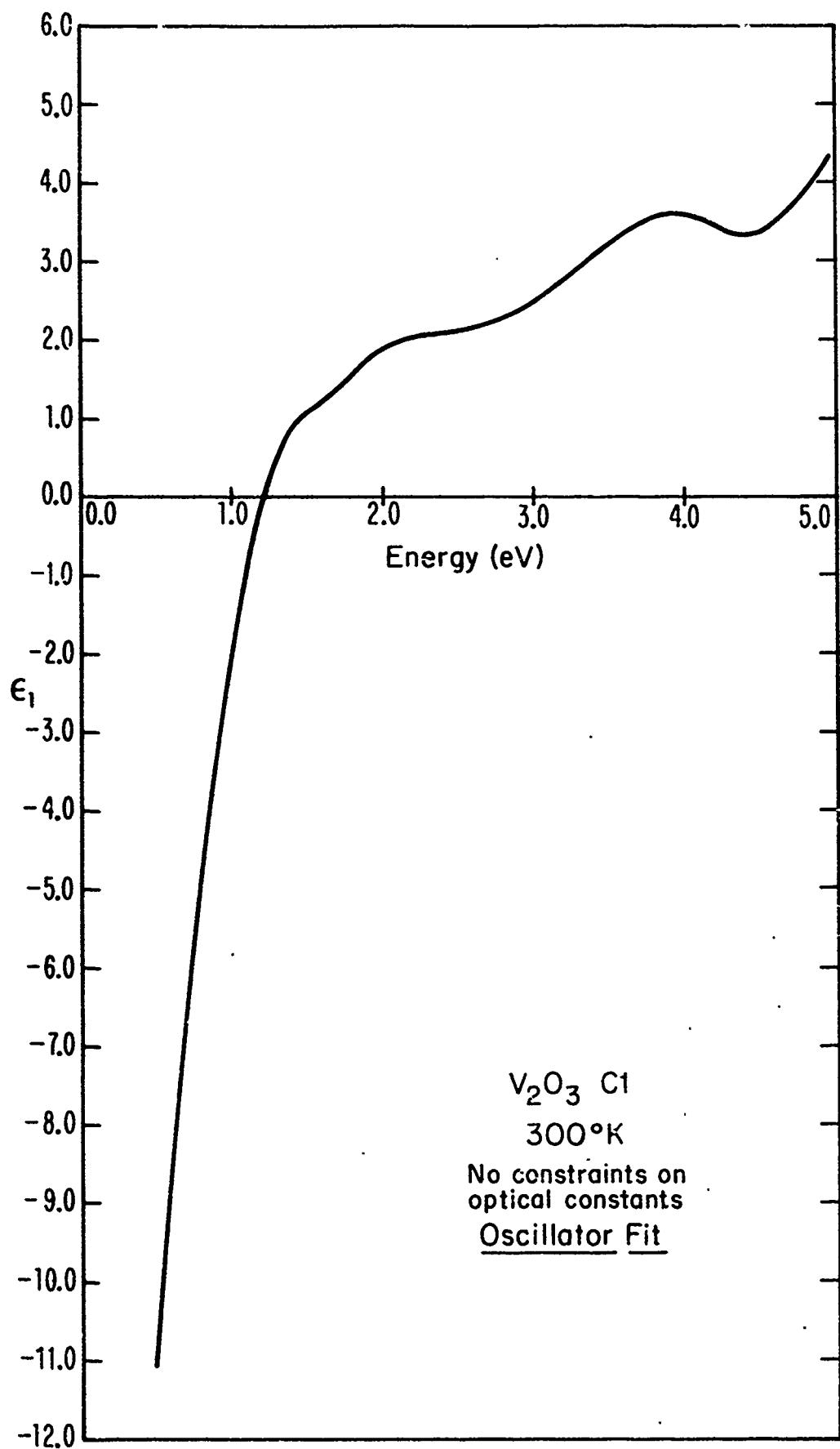


FIGURE IV-14  $\epsilon_1$  curve of C1, obtained from the fit shown in FIG. IV-13.

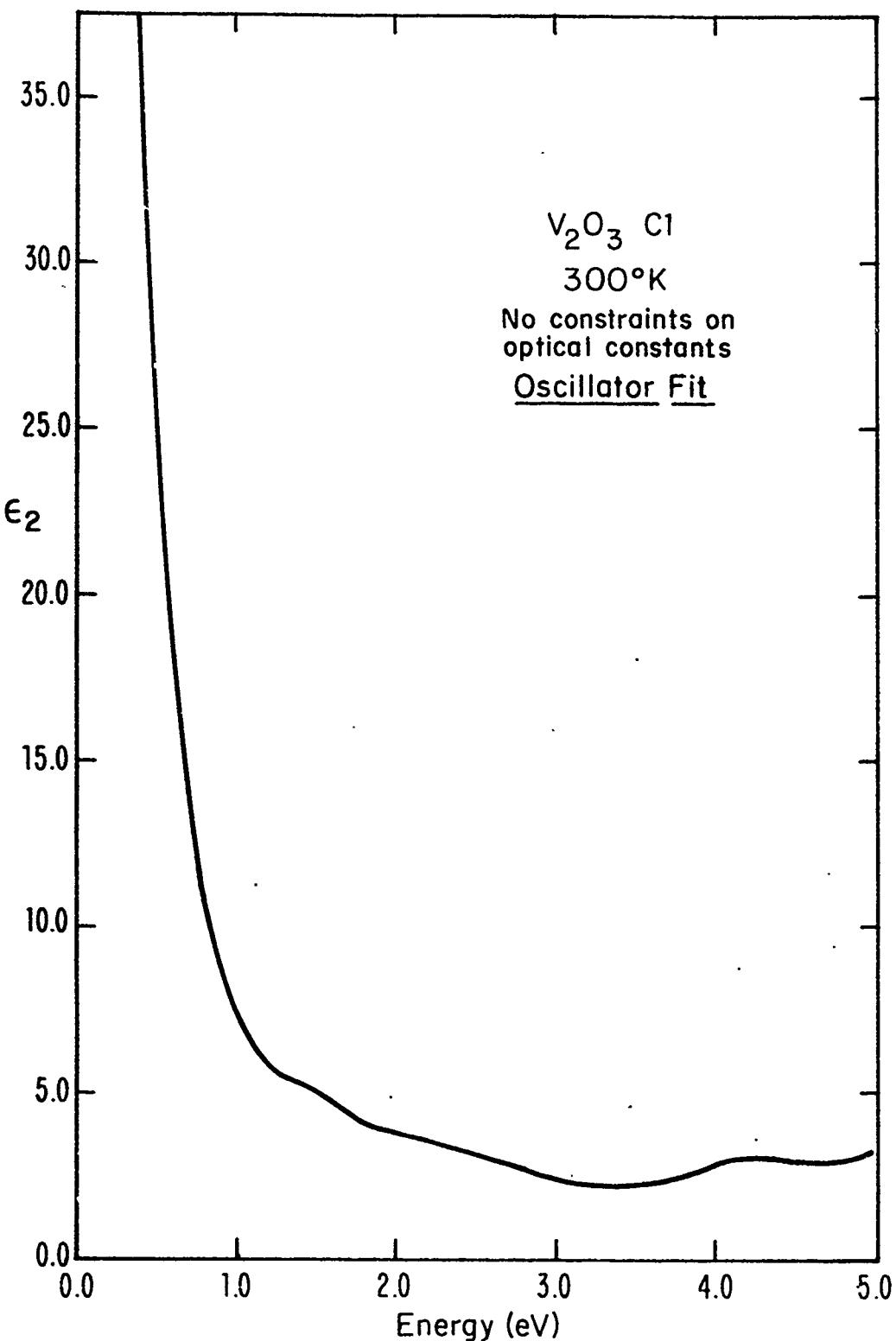


FIGURE IV-15  $\epsilon_2$  curve of C1, obtained from the fit shown in Fig. IV-13.

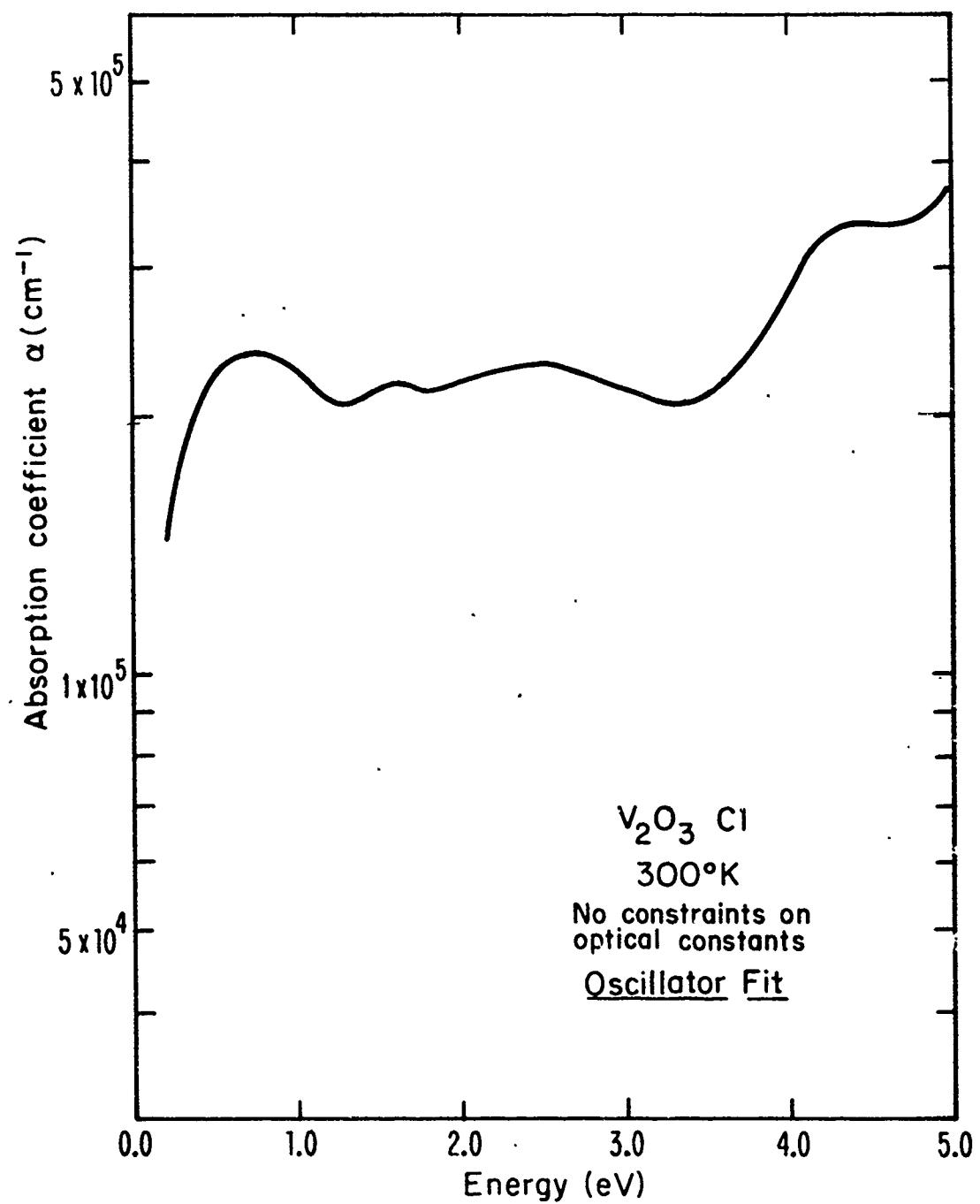


FIGURE IV-16  $\alpha$  curve of C1, obtained from the fit shown in Fig. IV-13.

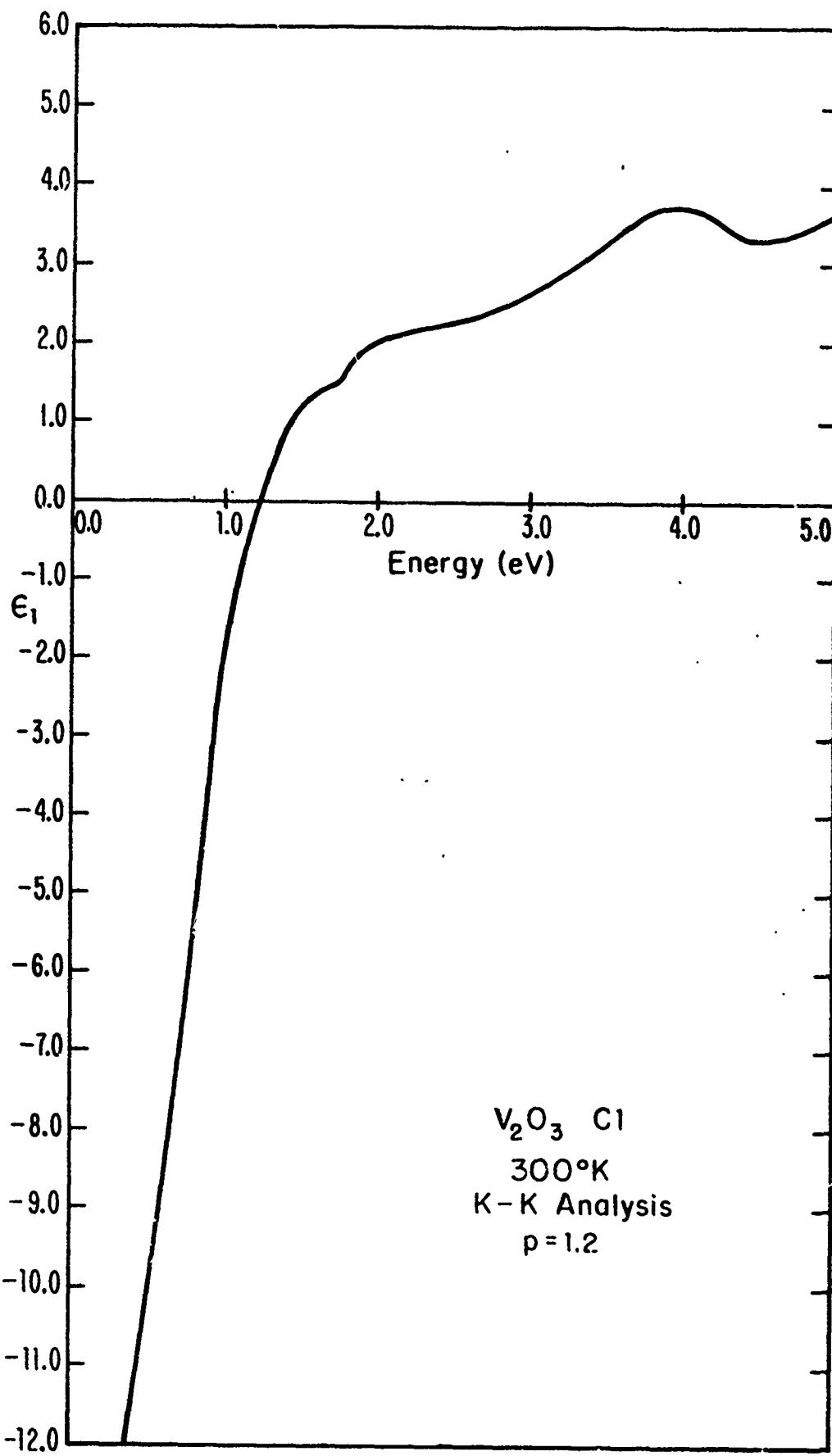


FIGURE IV-17  $\epsilon_1$  curve of C1, obtained from the Kramers-Kronig analysis of the reflectivity spectrum of C1.

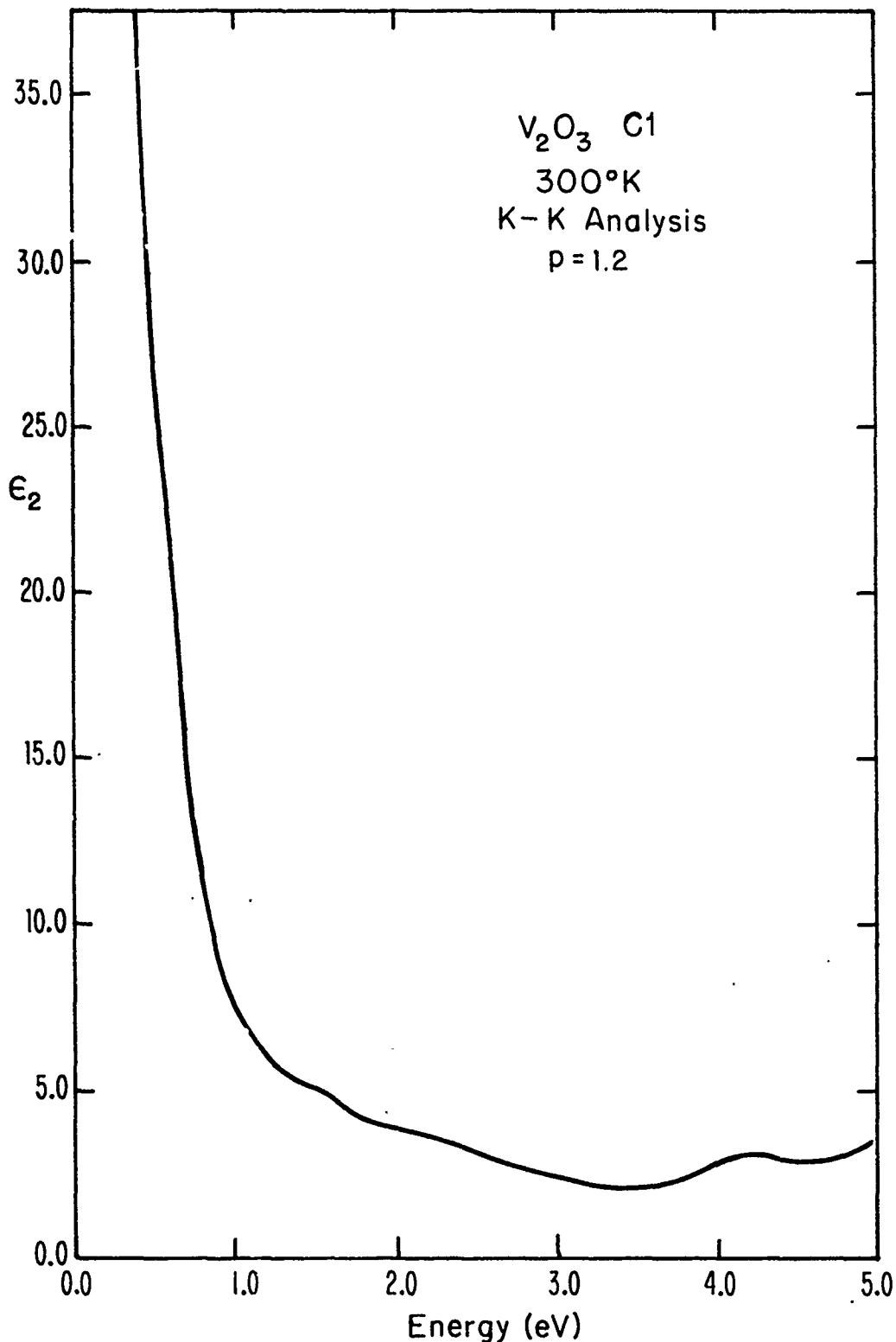


FIGURE IV-18  $\epsilon_2$  curve of C1, obtained from the Kramers-Kronig analysis of the reflectivity spectrum of C1.

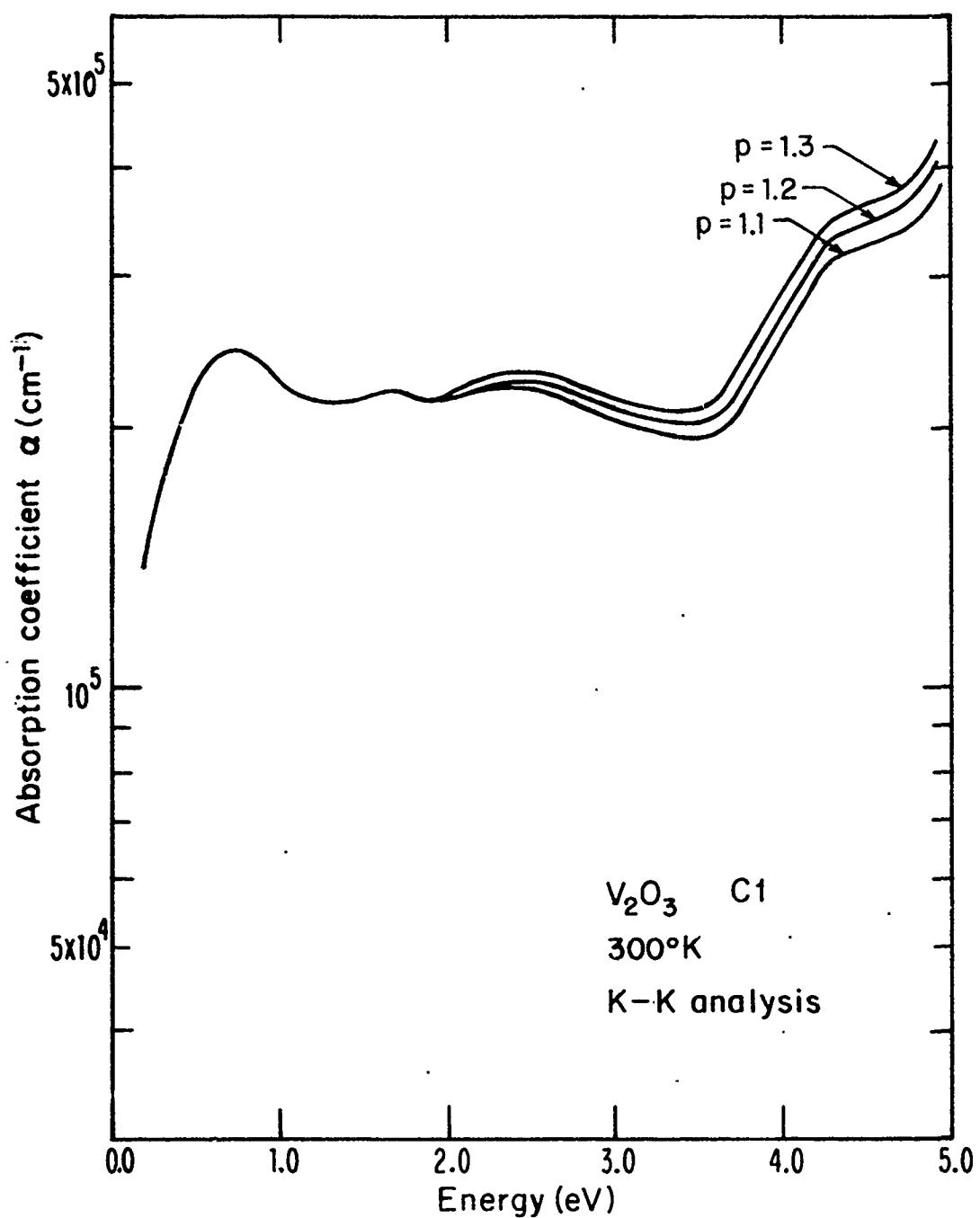


FIGURE IV-19  $\alpha$  curve of C1, obtained from the Kramers-Kronig analysis of the reflectivity spectrum of C1.

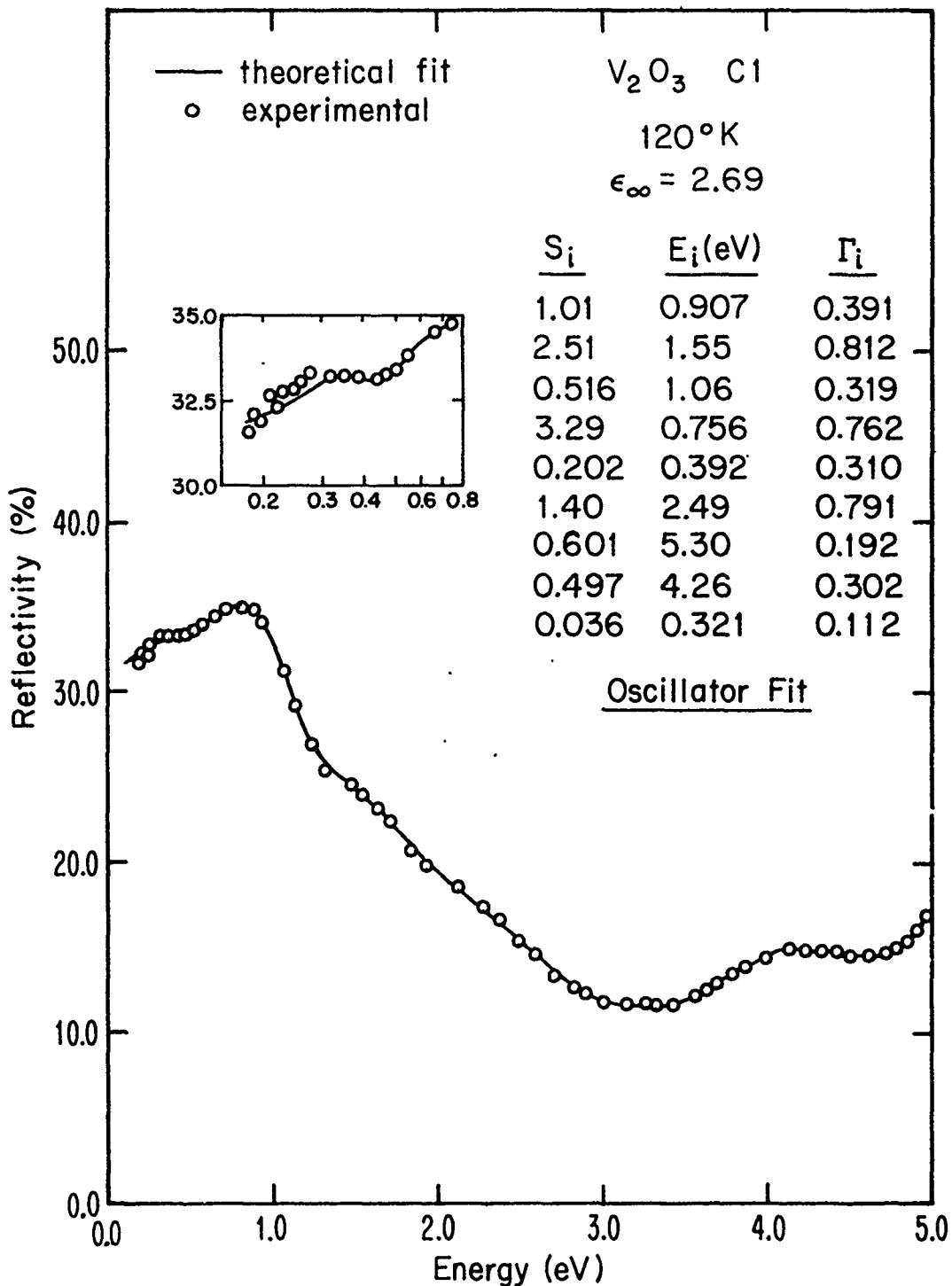


FIGURE IV-20 A theoretical fit to the experimental data of C1 by the oscillator fit method (at  $120^{\circ}\text{K}$ ).

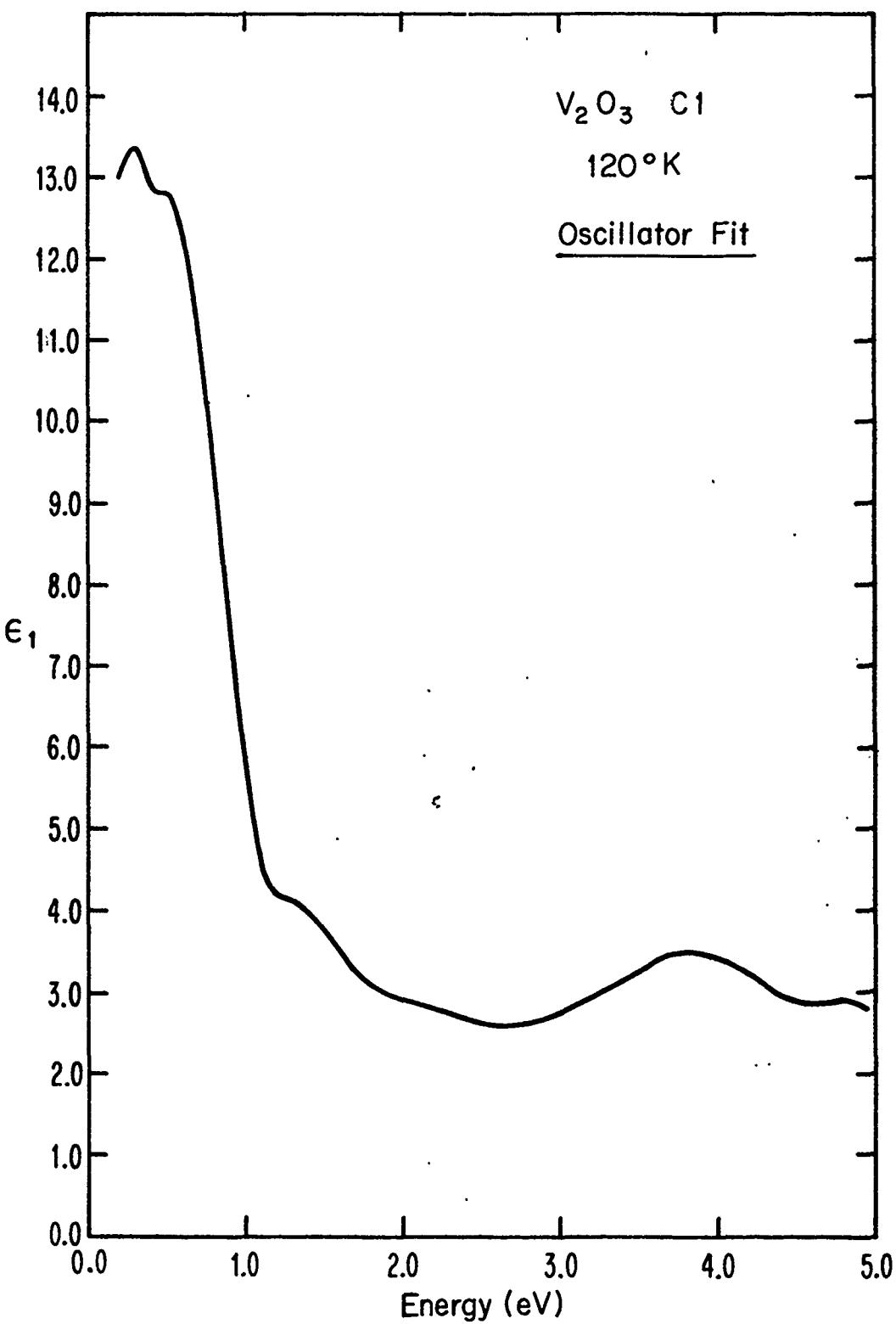


FIGURE IV-21  $\epsilon_1$  curve of C1, obtained from the fit shown in Fig. IV-20.

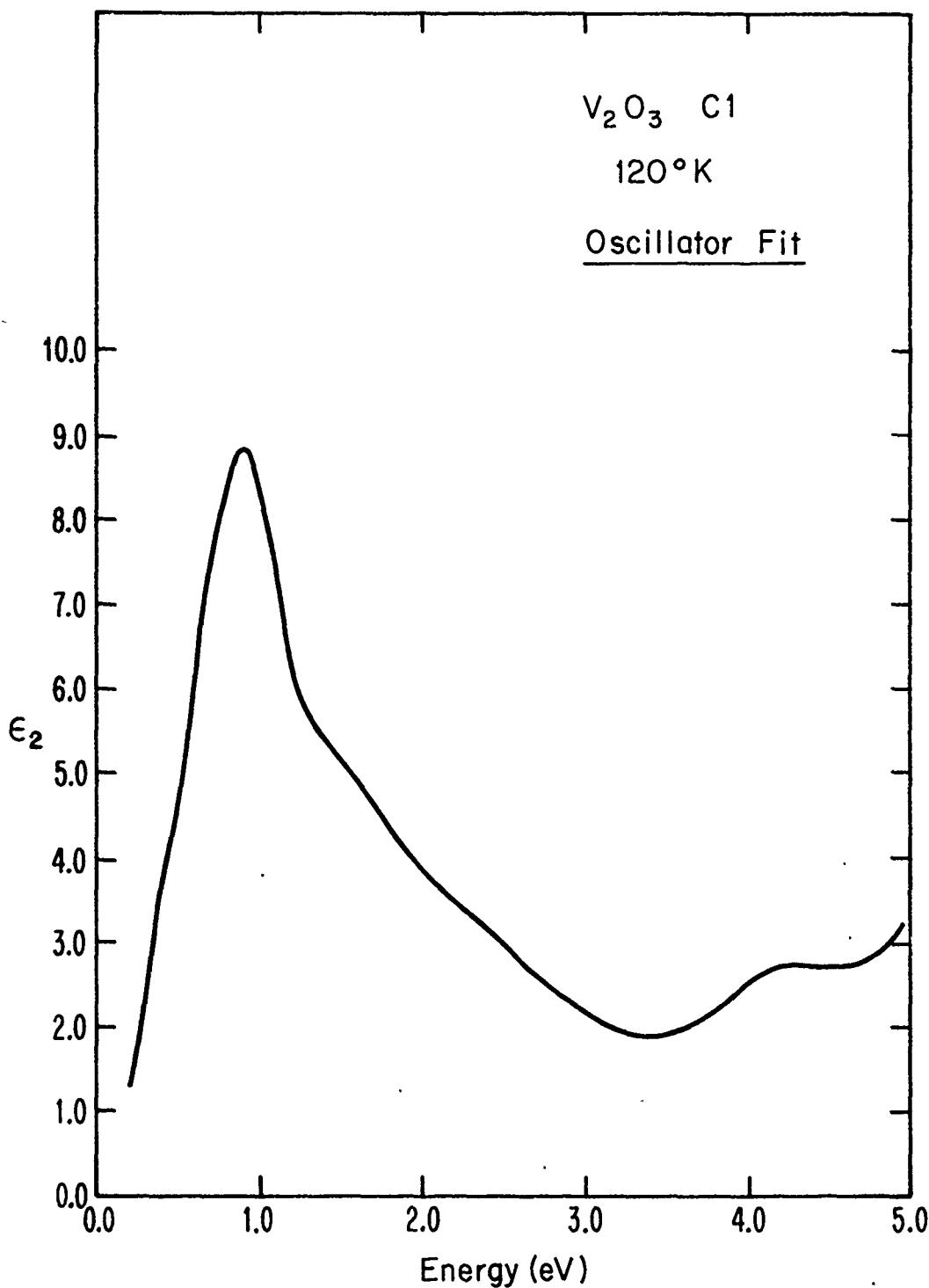


FIGURE IV-22  $\epsilon_2$  curve of C1, obtained from the fit shown in Fig. IV-20.

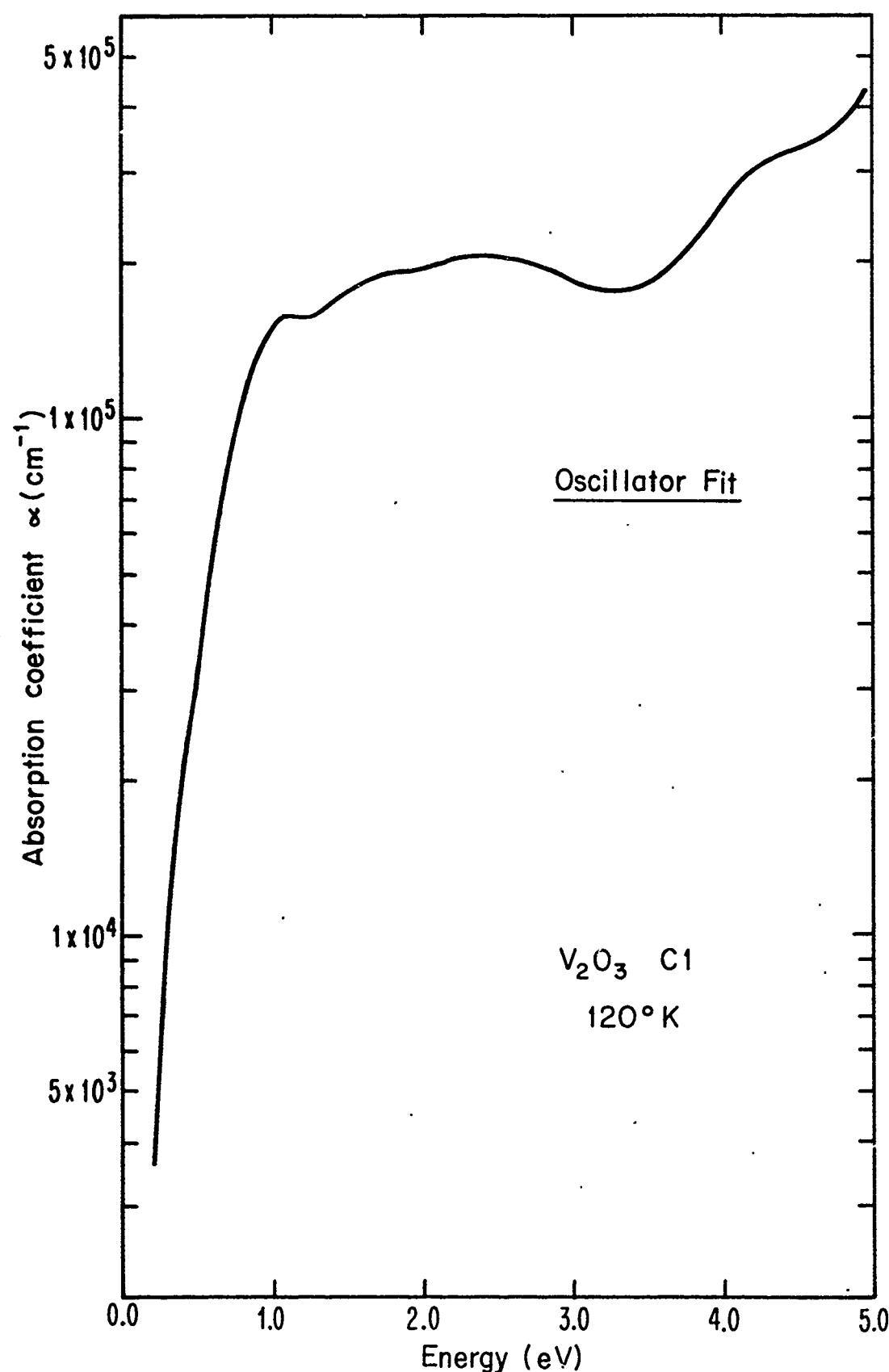


FIGURE IV-23  $\alpha$  curve of C1, obtained from the fit shown in Fig. IV-20.

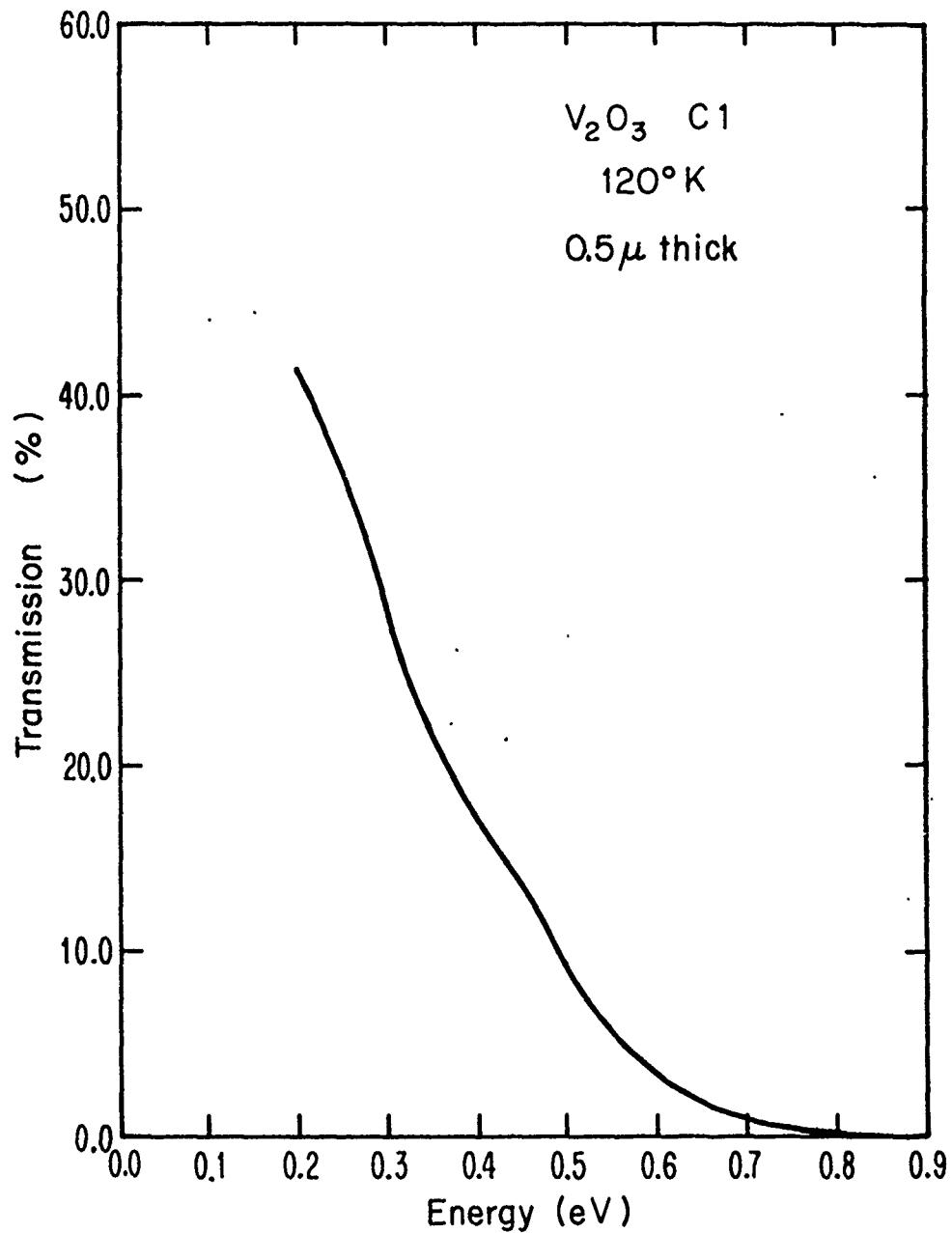


FIGURE IV-24 Predicted transmission of a single  $V_2O_3$  crystal of  $0.5\mu$  thickness at 120°K.

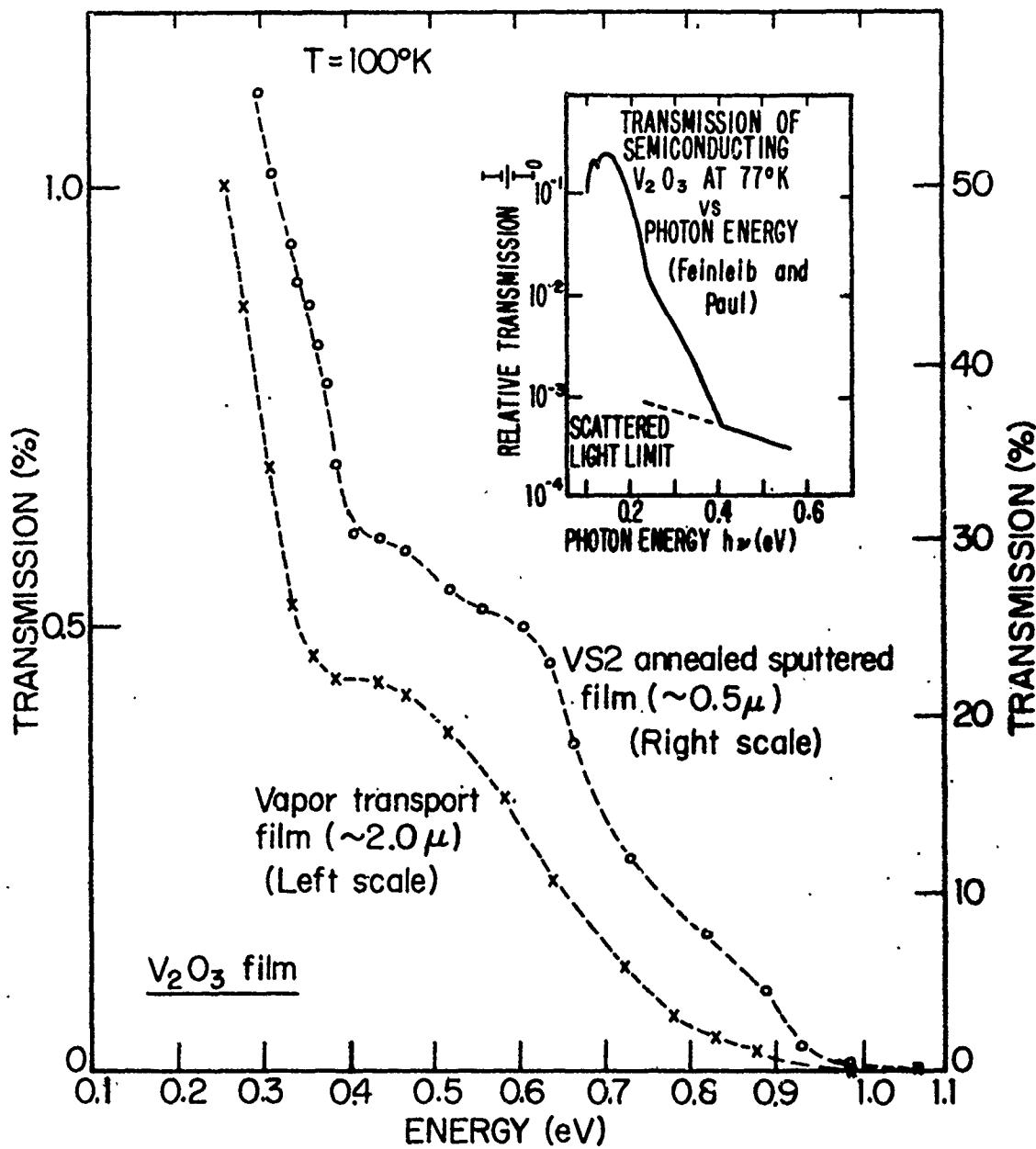


FIGURE IV-25 Low temperature transmission of a  $V_2O_3$  film grown by vapor transport and of an annealed  $V_2O_3$  sputtered film, compared with that of a single crystal measured by Feinleib and Paul (3).

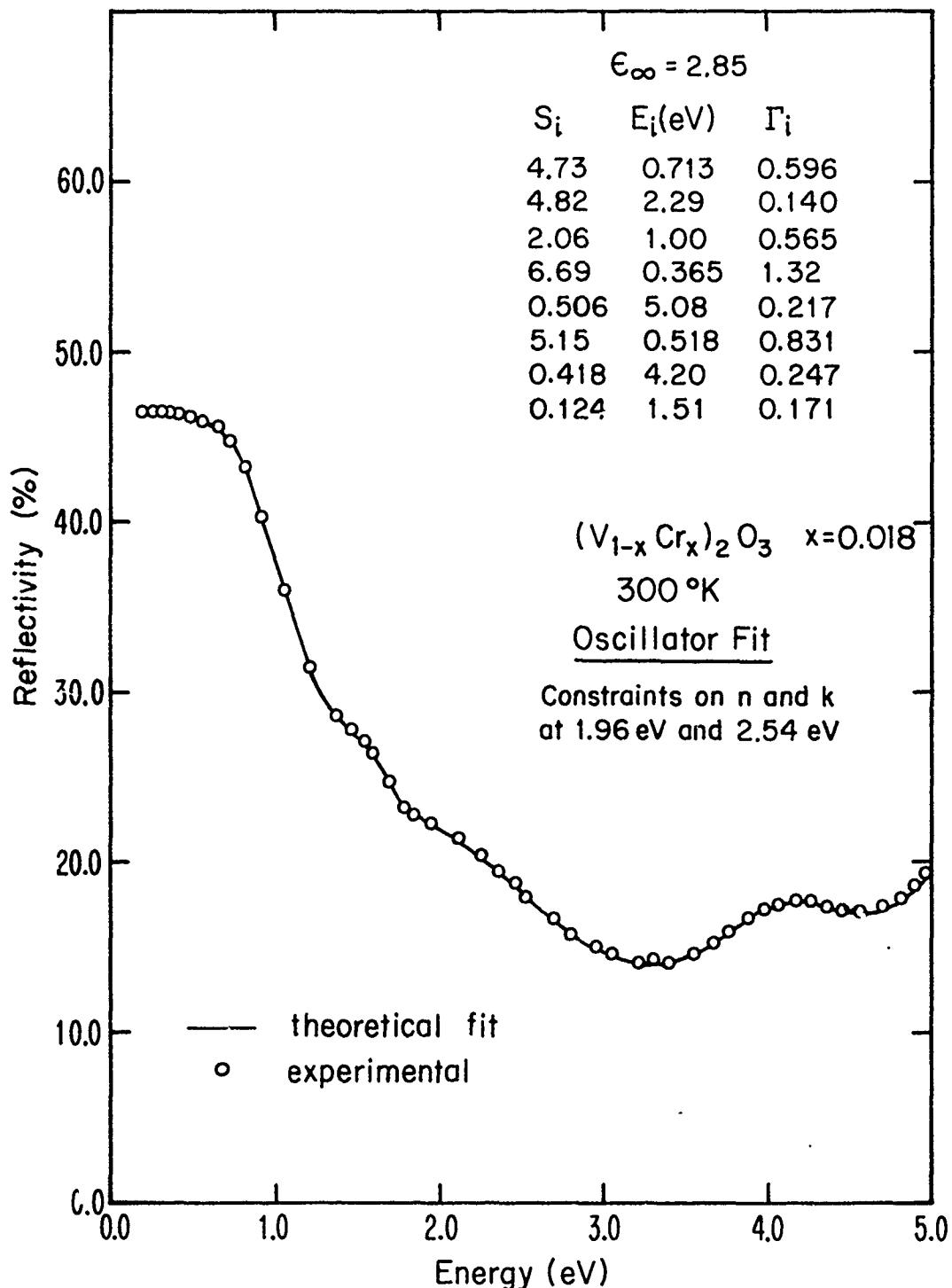


FIGURE IV-26 A theoretical fit to the experimental reflectivity data of a  $(V_{0.982} Cr_{0.018})_2 O_3$  crystal, where the values of  $n$  and  $k$  at 1.96 eV and 2.54 eV are constrained to approach those obtained from the angular dependence measurements.

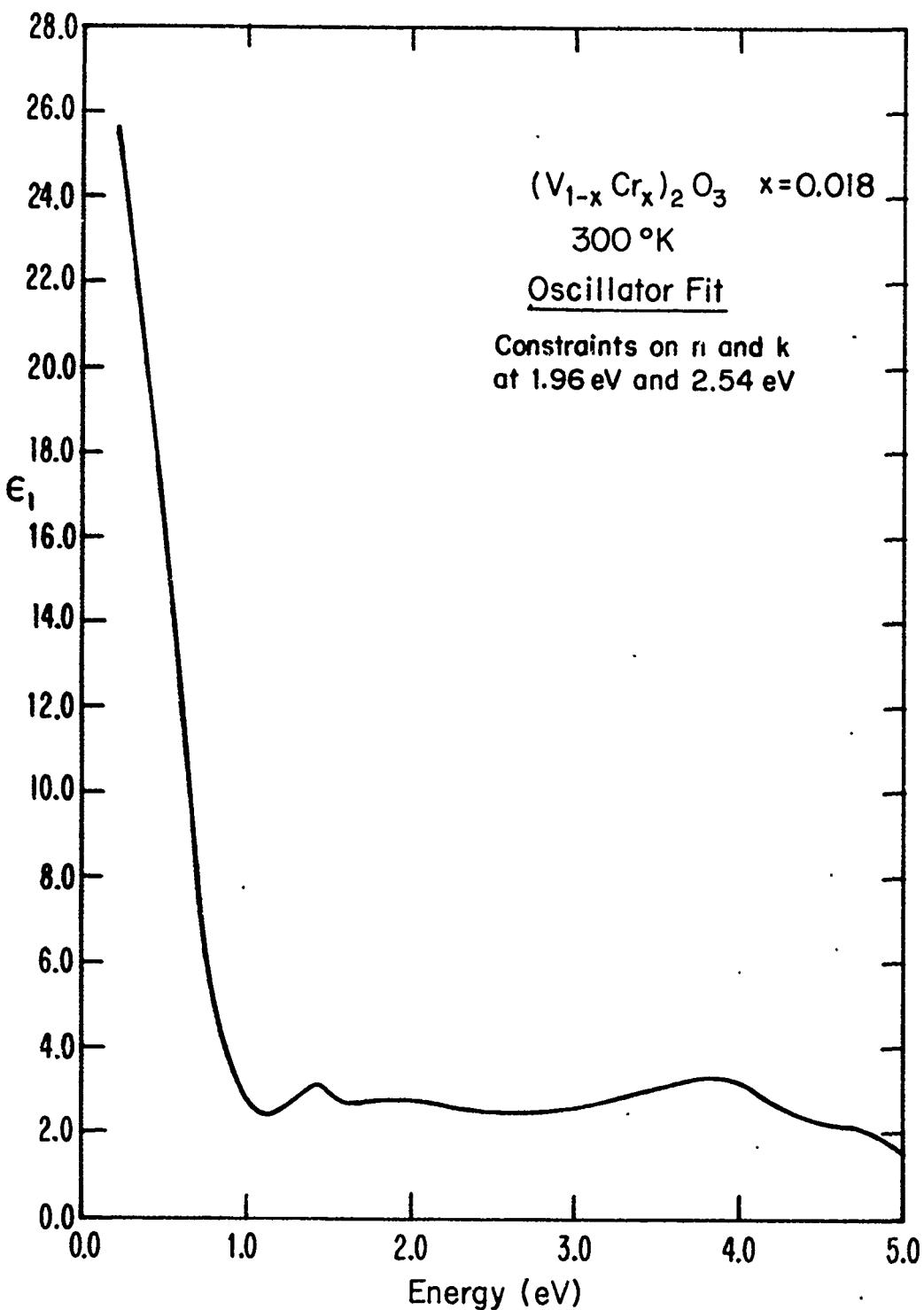


FIGURE IV-27  $\epsilon_1$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-26.

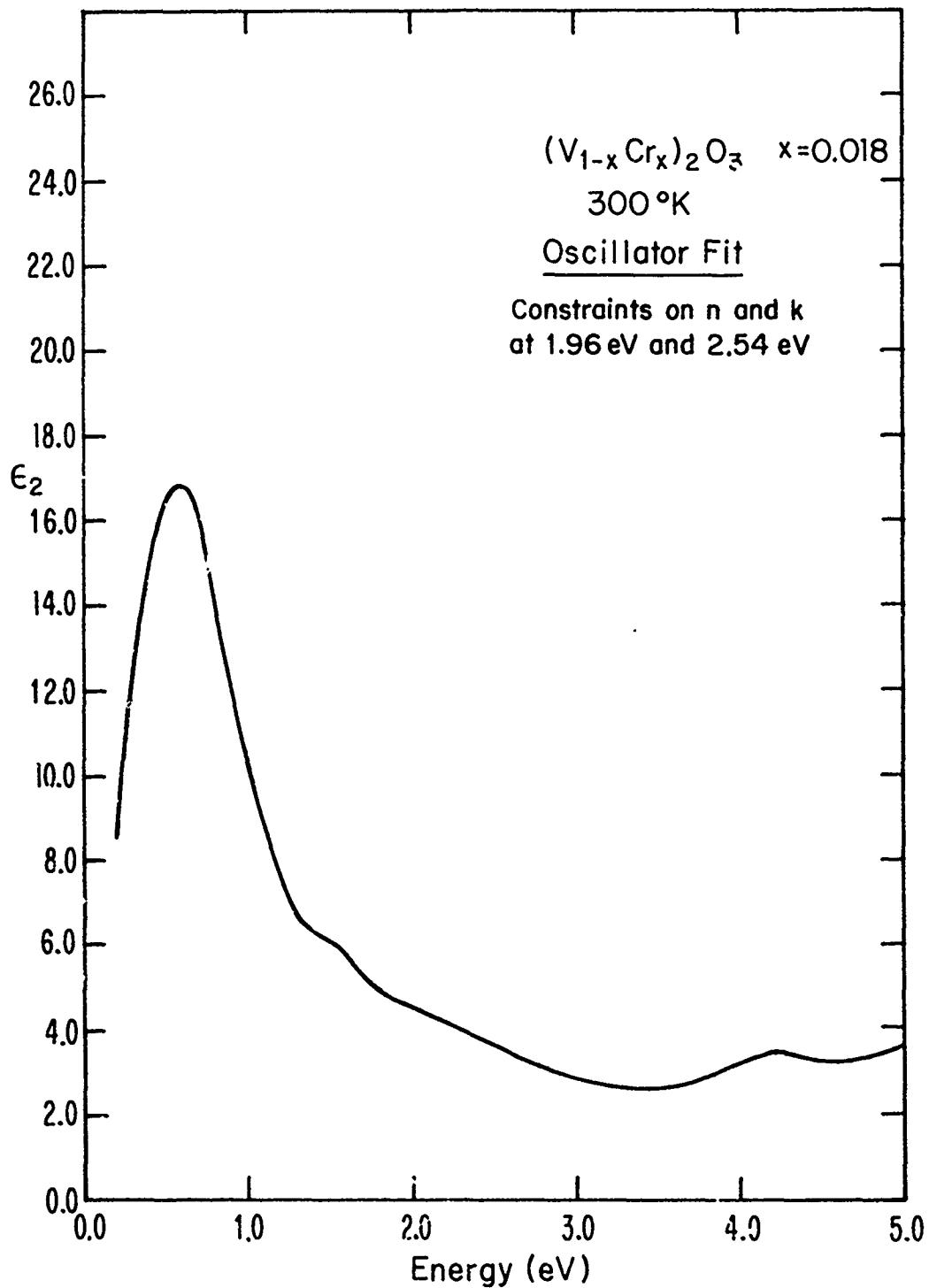


FIGURE IV-28  $\epsilon_2$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-26.

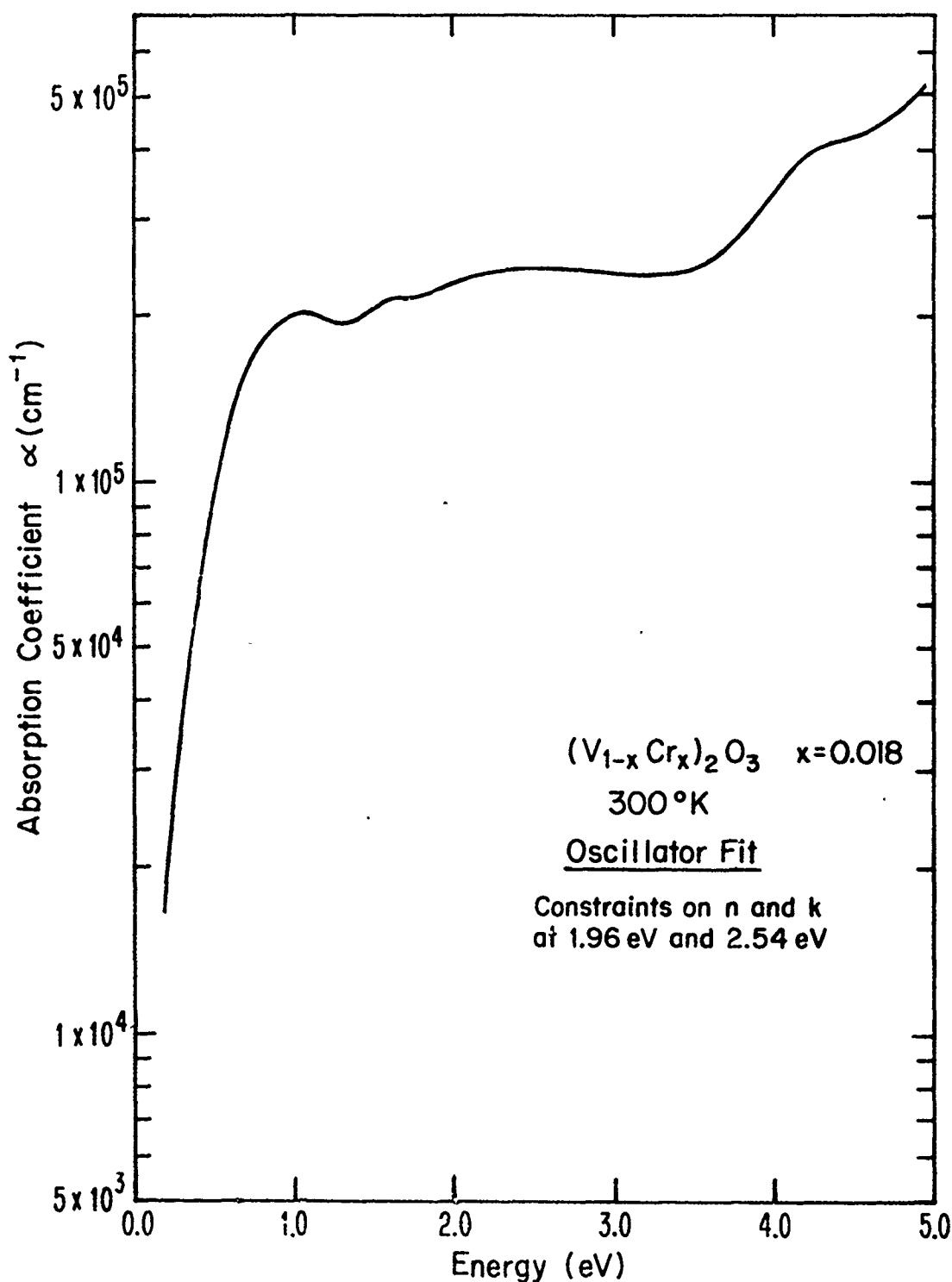


FIGURE IV-29  $\alpha$  curve of the  $(\text{V}_{0.982}\text{Cr}_{0.018})_2\text{O}_3$  crystal, obtained from the fit shown in Fig. IV-26.

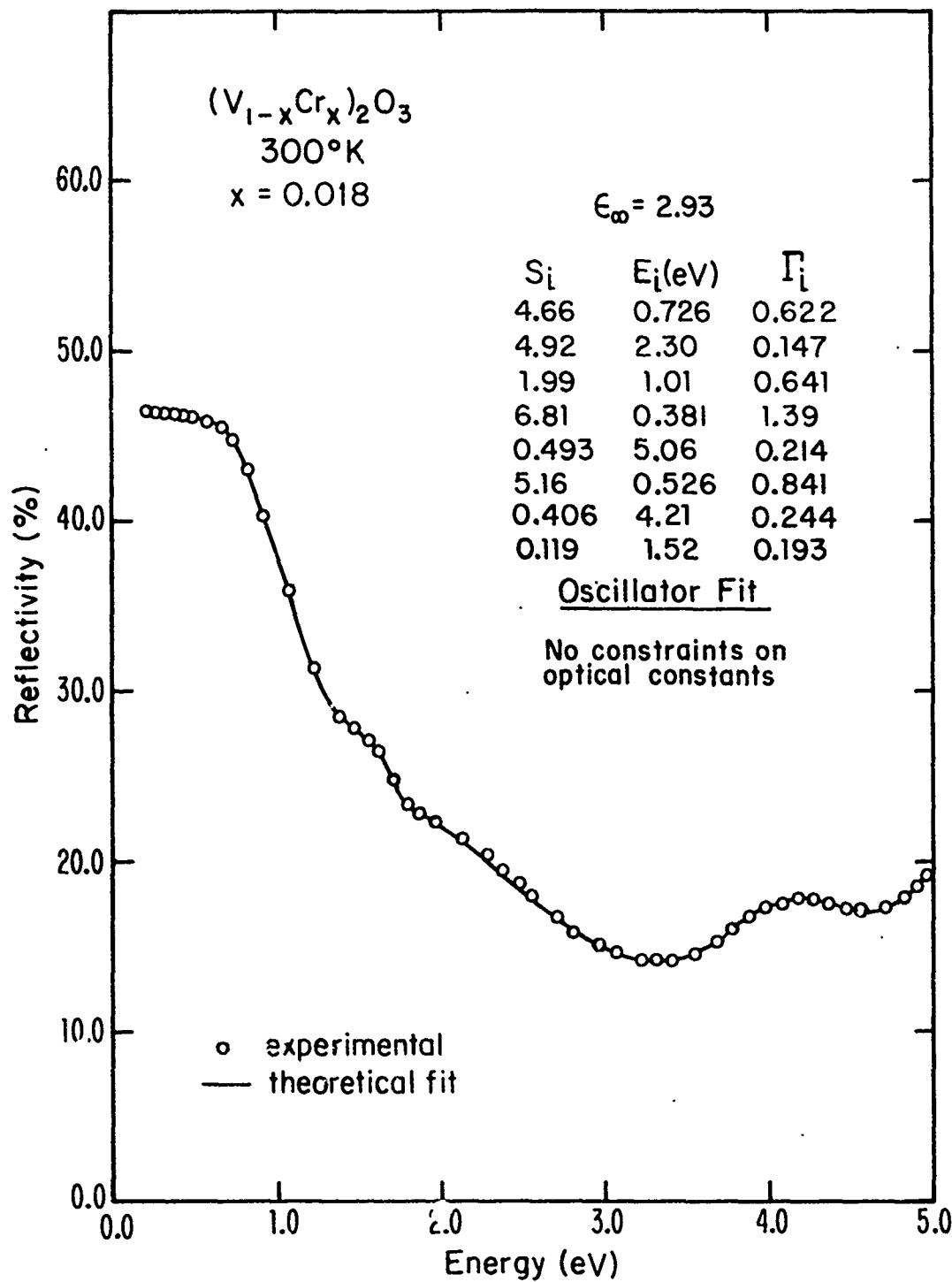


FIGURE IV-30 A theoretical fit to the experimental data of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, where the values of  $n$  and  $k$  at 1.96 eV and 2.54 eV are not constrained.

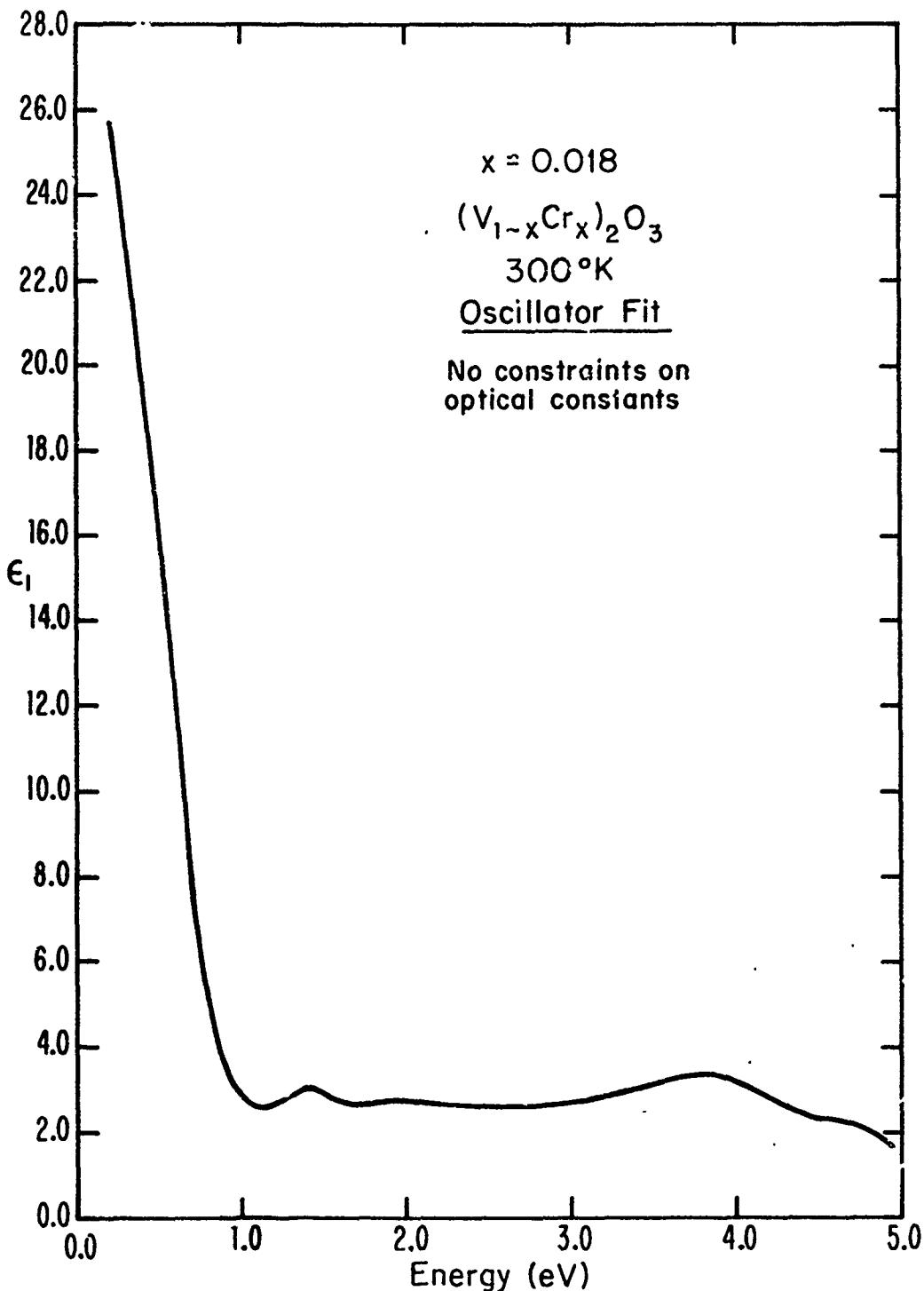


FIGURE IV-31  $\epsilon_1$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-30,

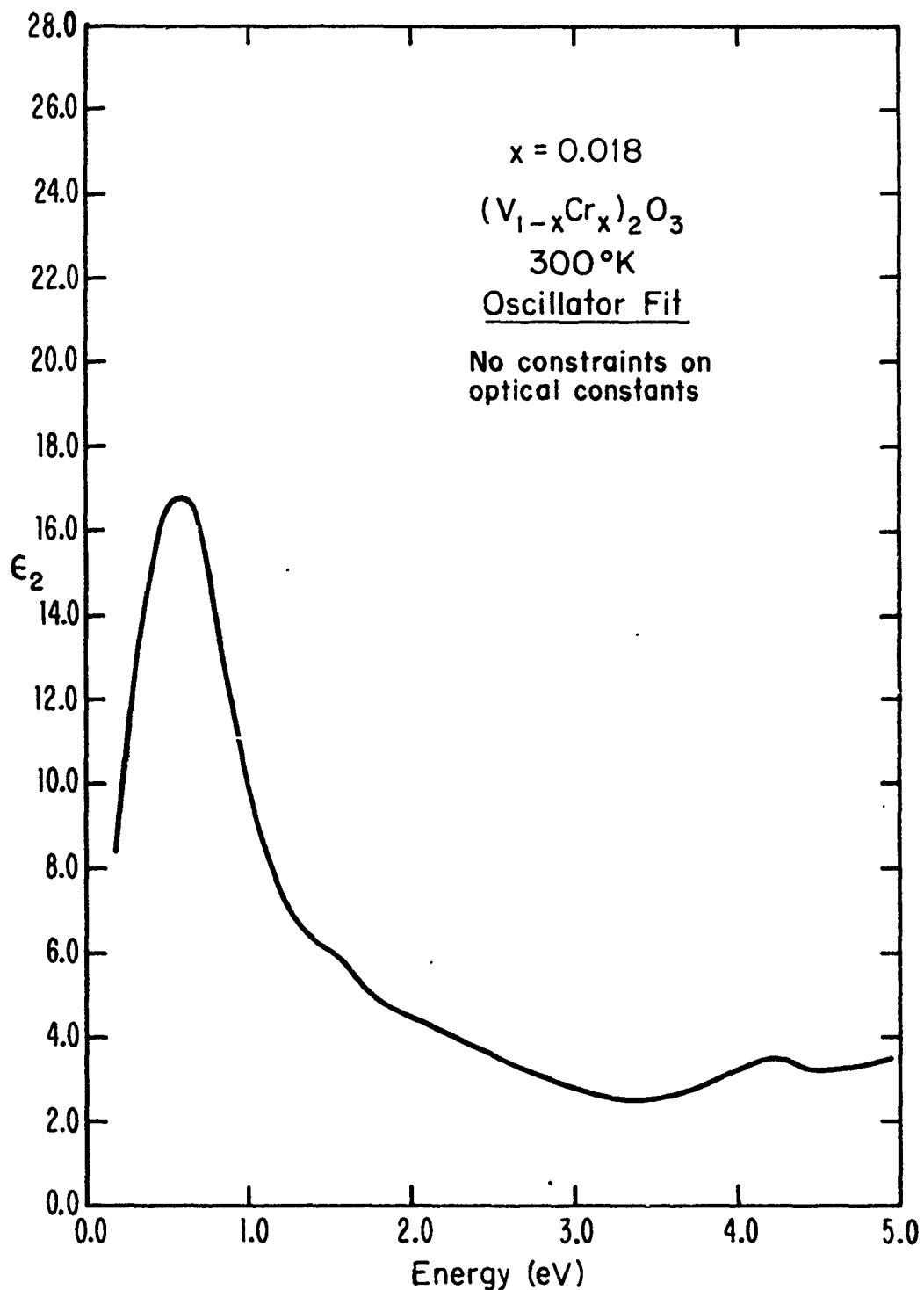


FIGURE IV-32  $\epsilon_2$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-30.

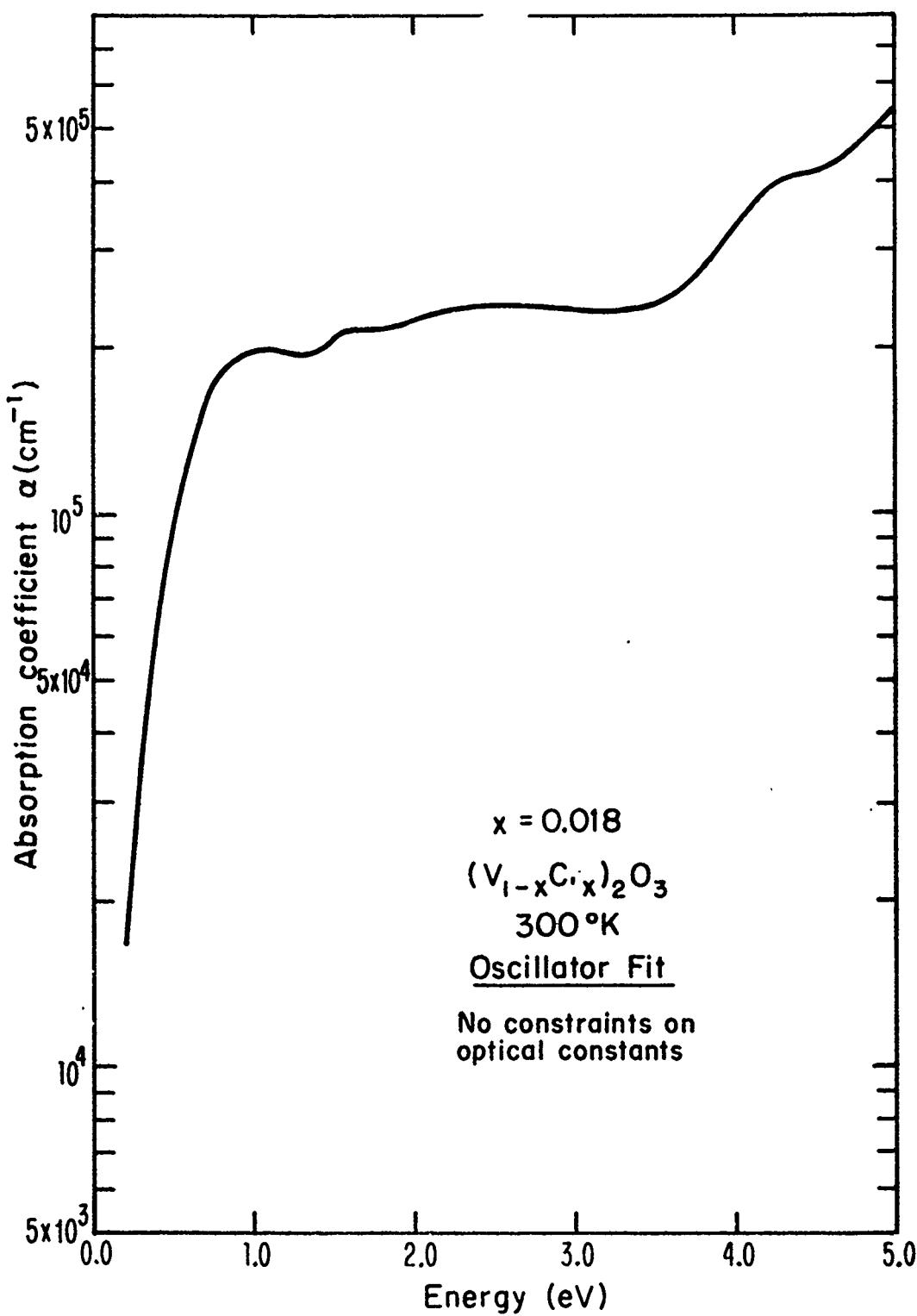


FIGURE IV-33  $\alpha$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-30.

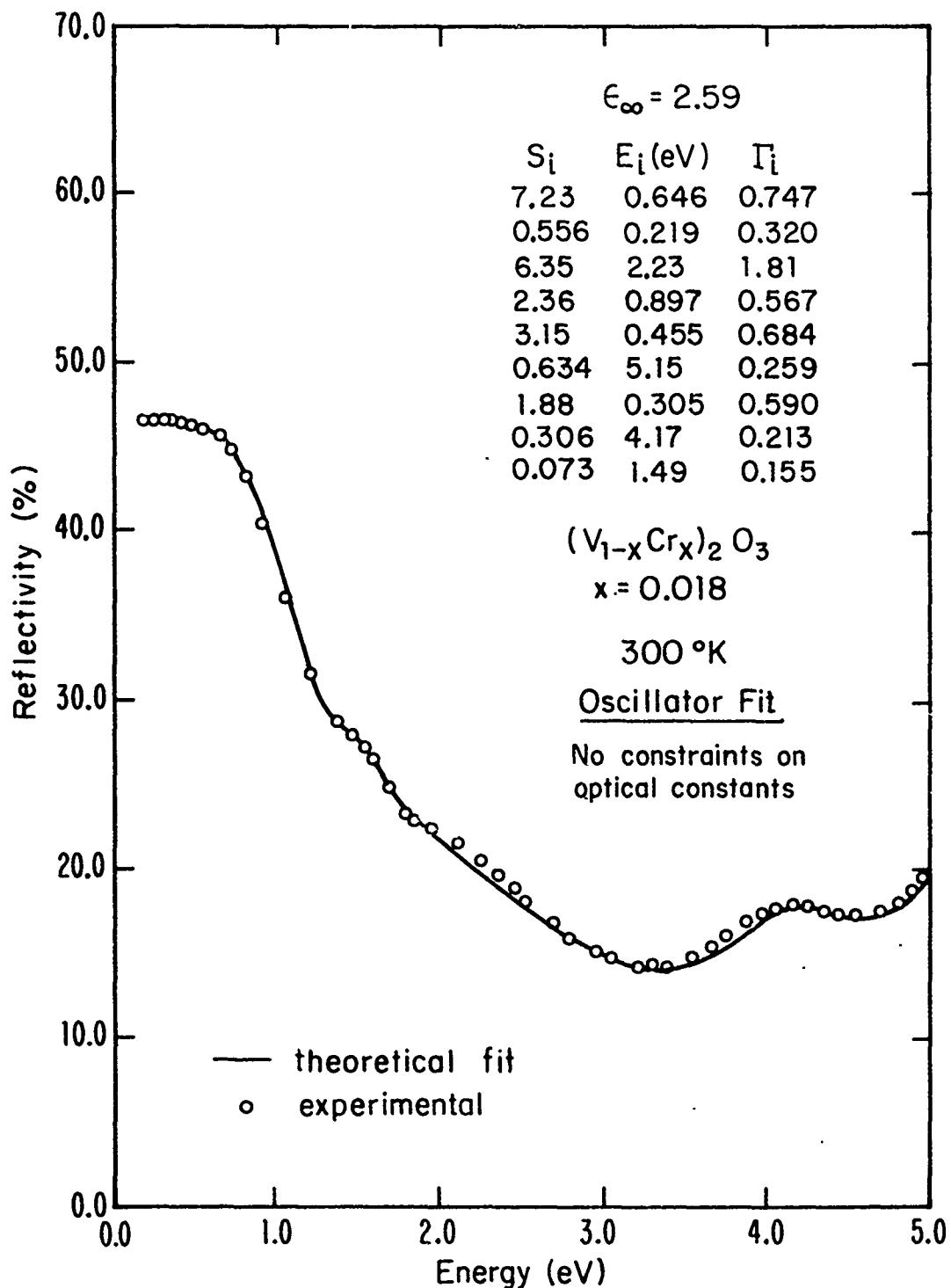


FIGURE IV-34 A theoretical fit to the experimental data of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal by the oscillator fit method, where the values of  $n$  and  $k$  at 1.96 eV and 2.54 eV are not constrained. This is a poorer fit than the one shown in Fig. IV-30.

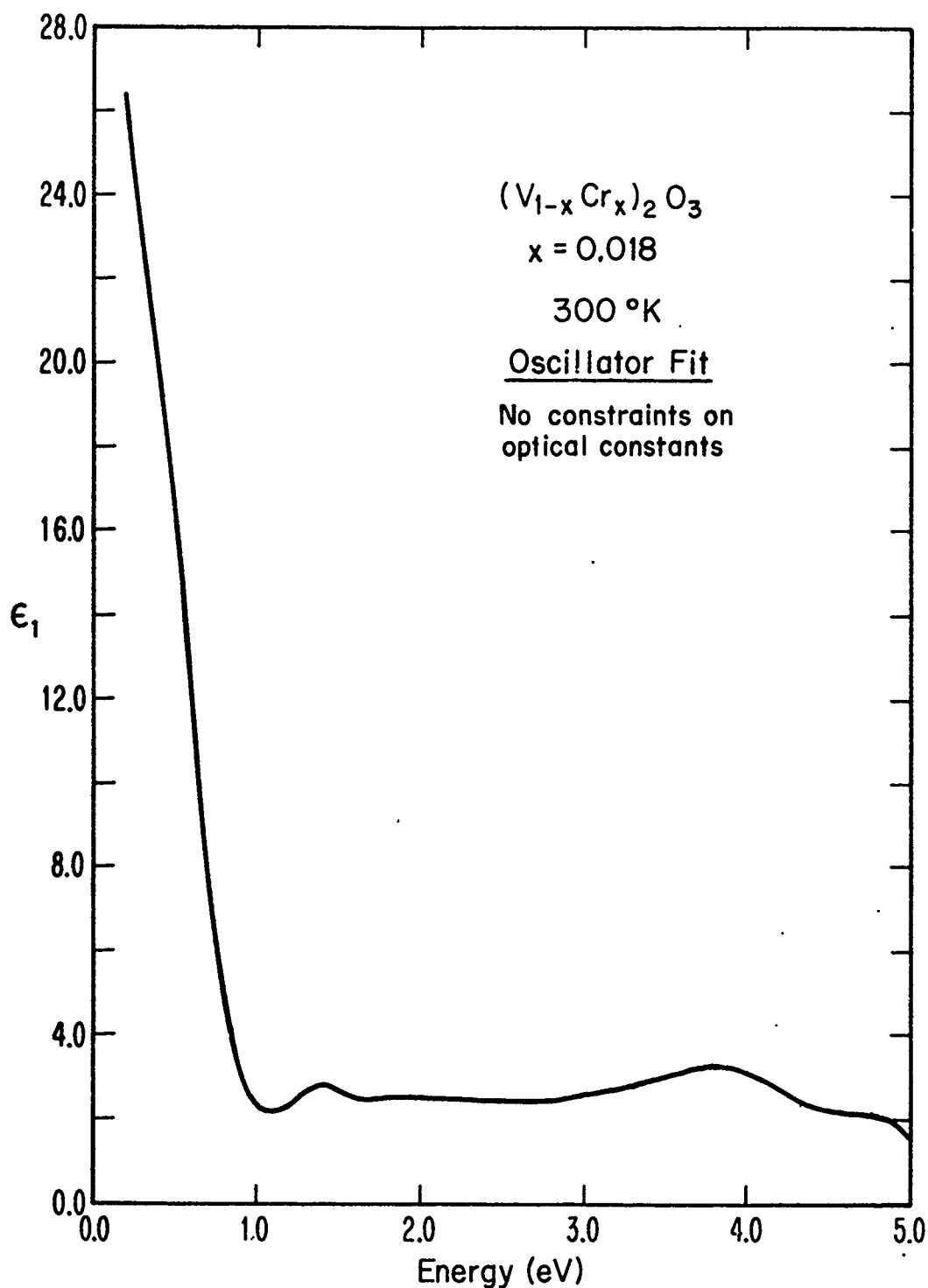


FIGURE IV-35  $\epsilon_1$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-34.

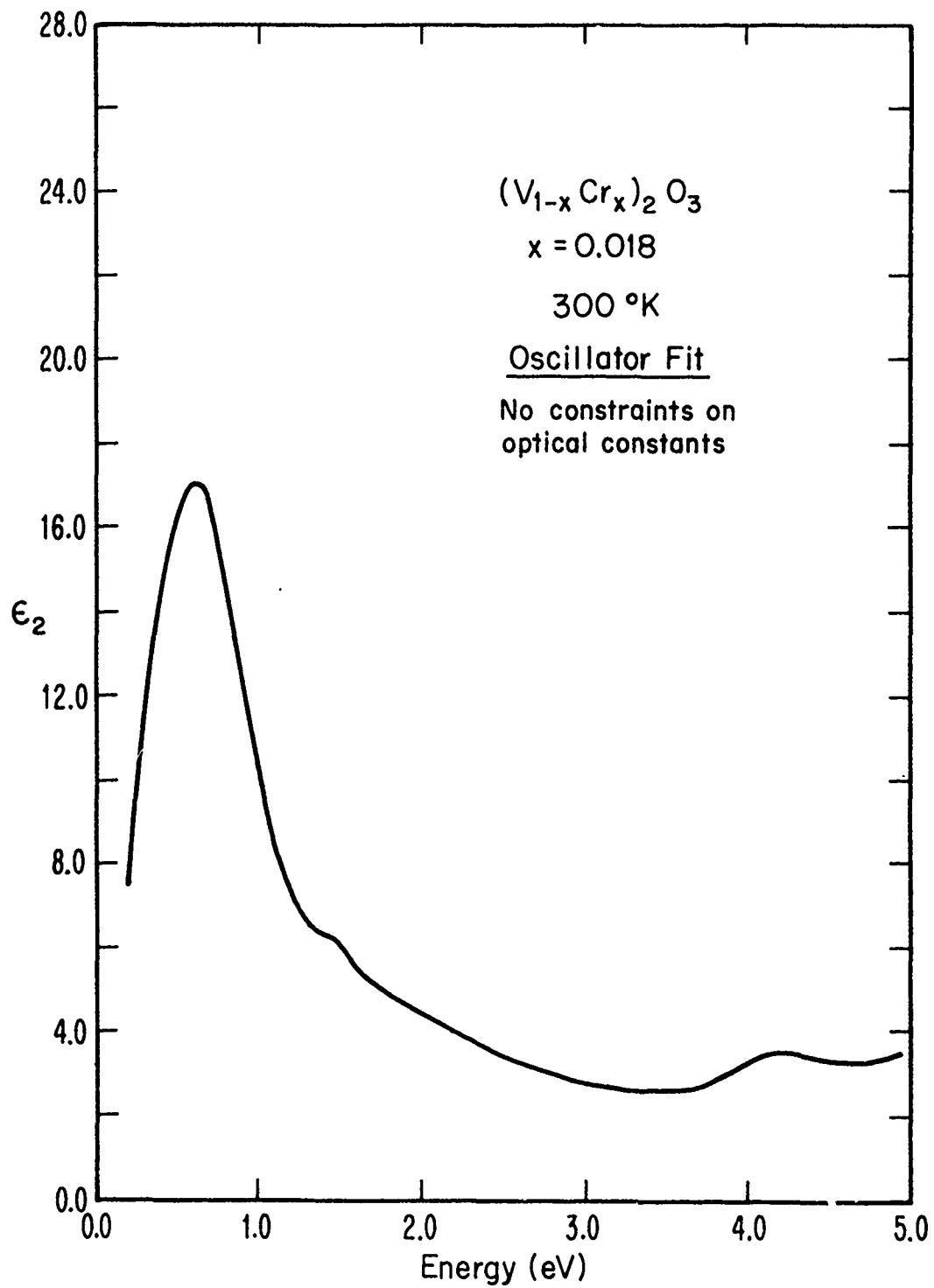


FIGURE IV-36  $\epsilon_2$  curve of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal, obtained from the fit shown in Fig. IV-34.

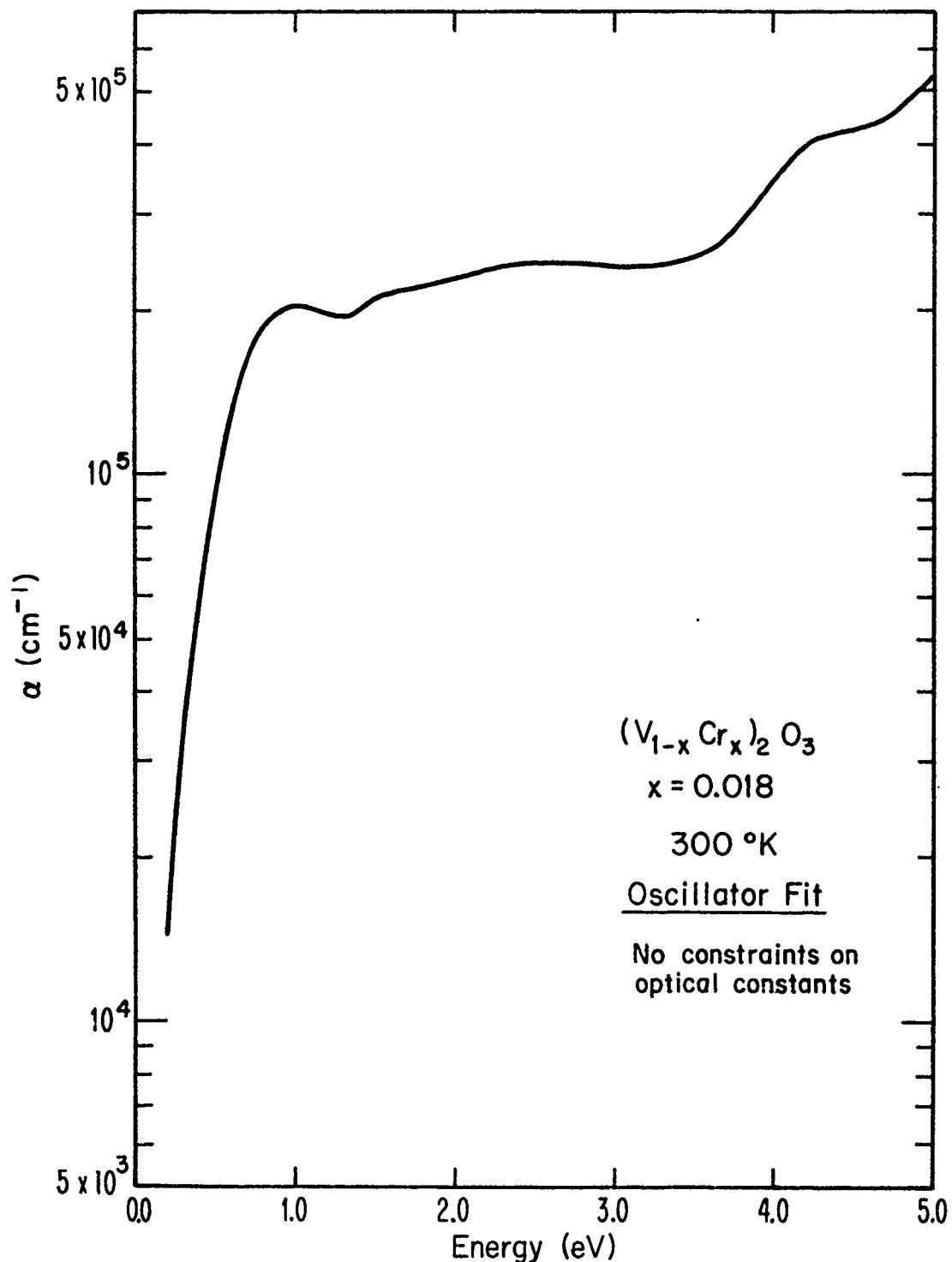


FIGURE IV-37  $\alpha$  curve of the  $(\text{V}_{0.982}\text{Cr}_{0.018})_2\text{O}_3$  crystal, obtained from the fit shown in Fig. IV-34.

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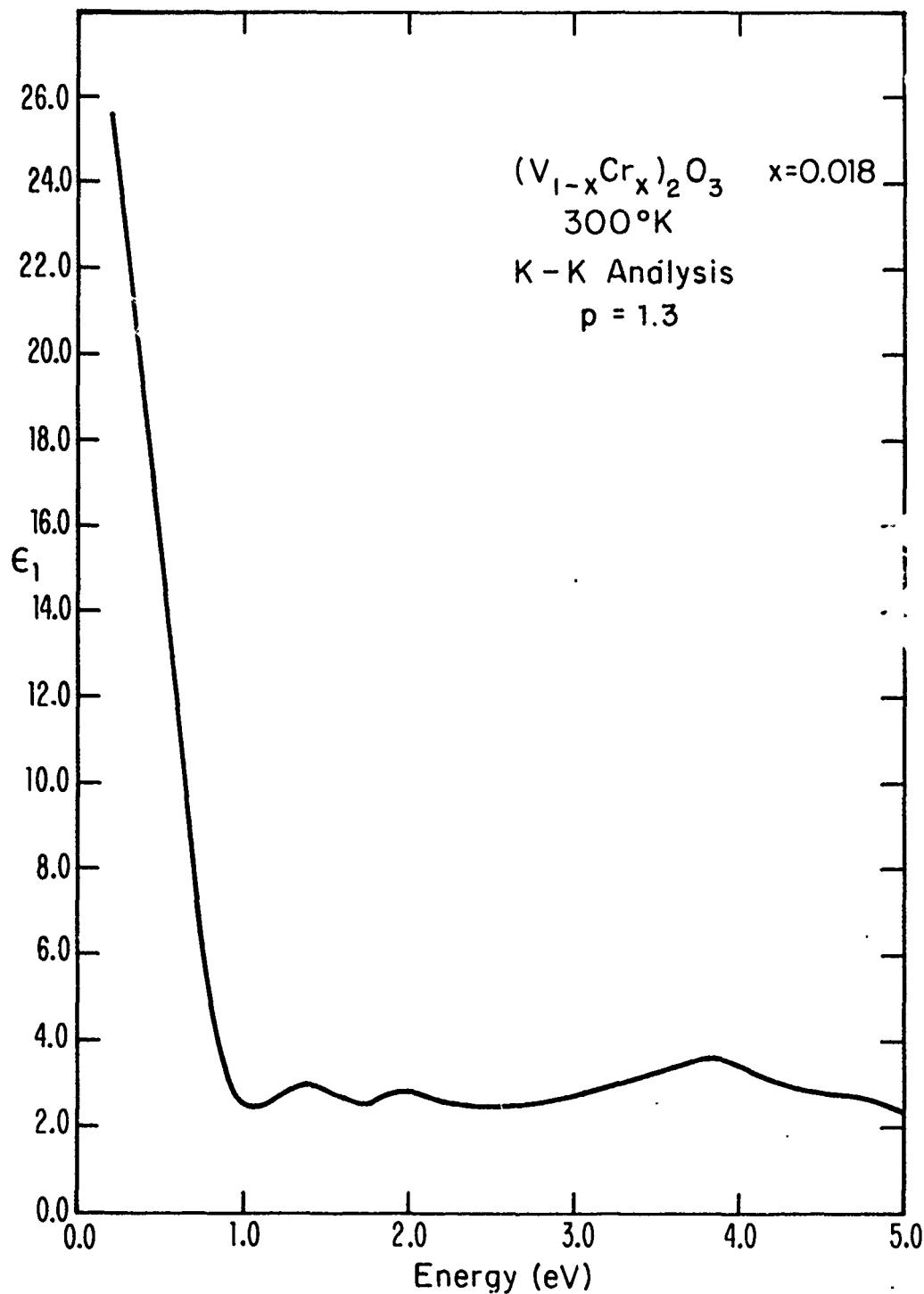


FIGURE IV-38  $\epsilon_1$  curve, obtained from the Kramers-Kronig analysis of the reflectivity spectrum of  $(V_{0.982}Cr_{0.018})_2O_3$ .

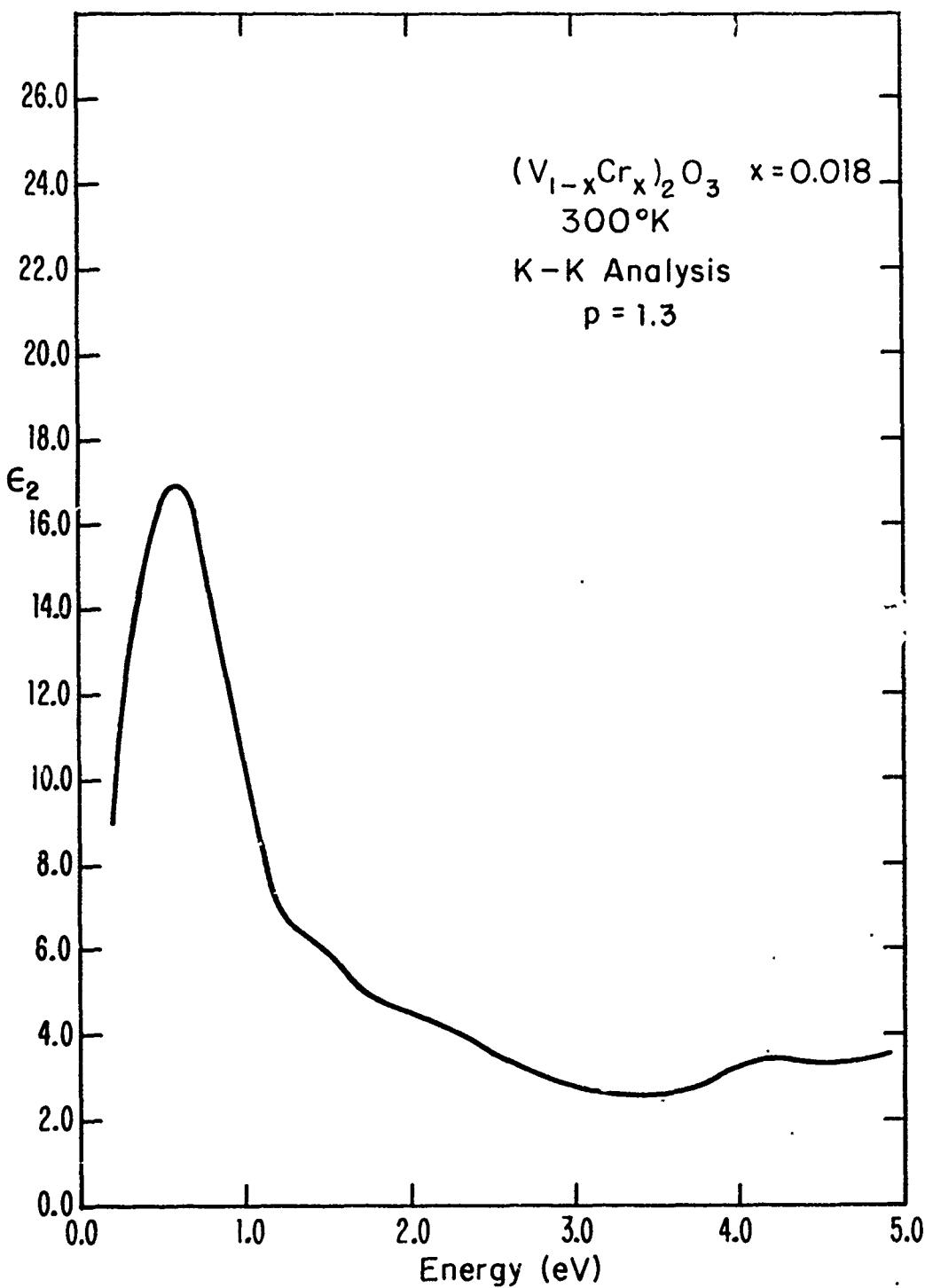


FIGURE IV-39  $\epsilon_2$  curve, obtained from the Kramers-Kronig analysis of the reflectivity spectrum of  $(V_{0.982}Cr_{0.018})_2O_3$ .

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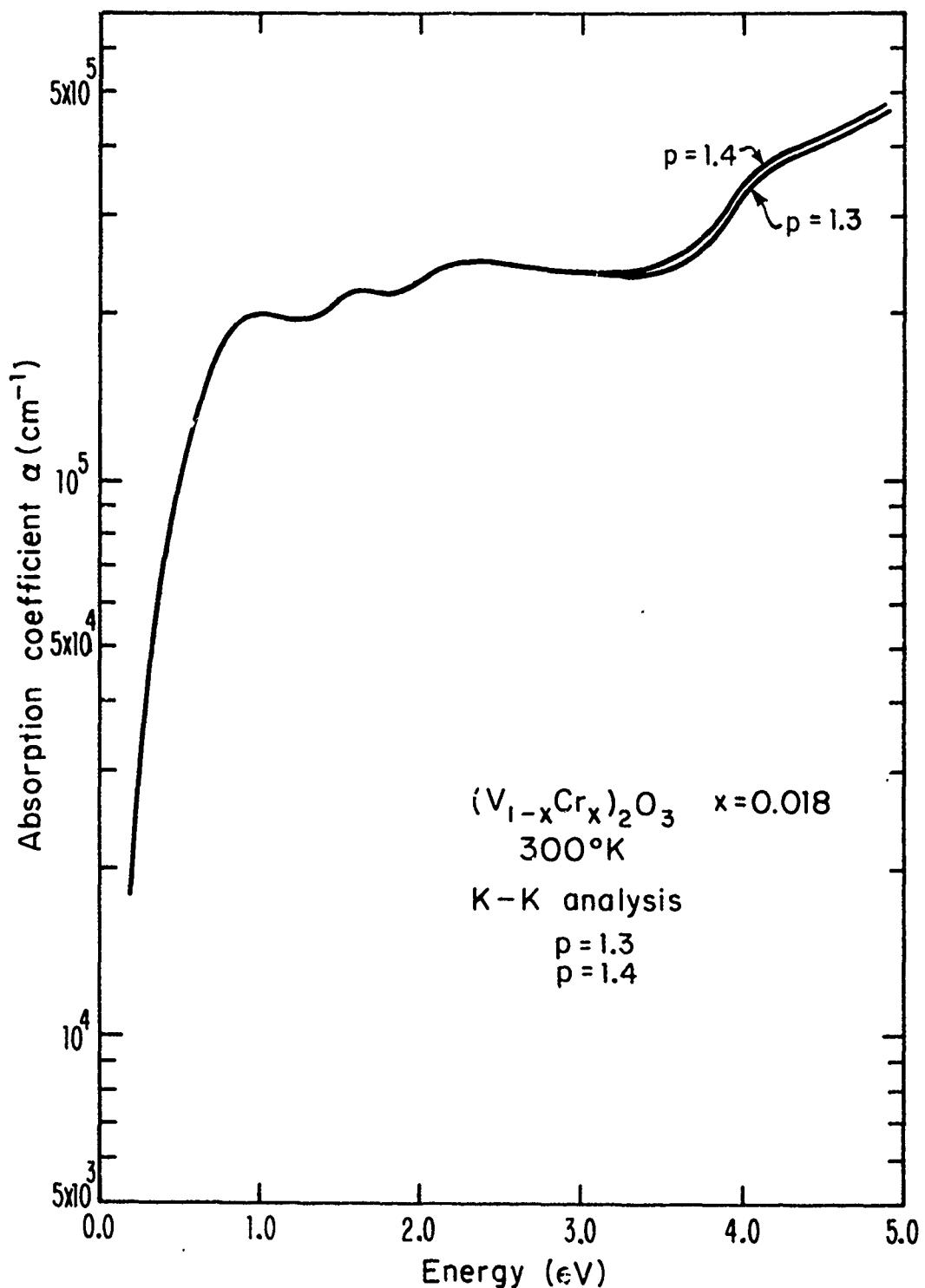


FIGURE IV-40  $\alpha$  curve, obtained from the Kramers-Kronig analysis of the reflectivity spectrum of  $(V_{0.982}Cr_{0.018})_2O_3$ .

240

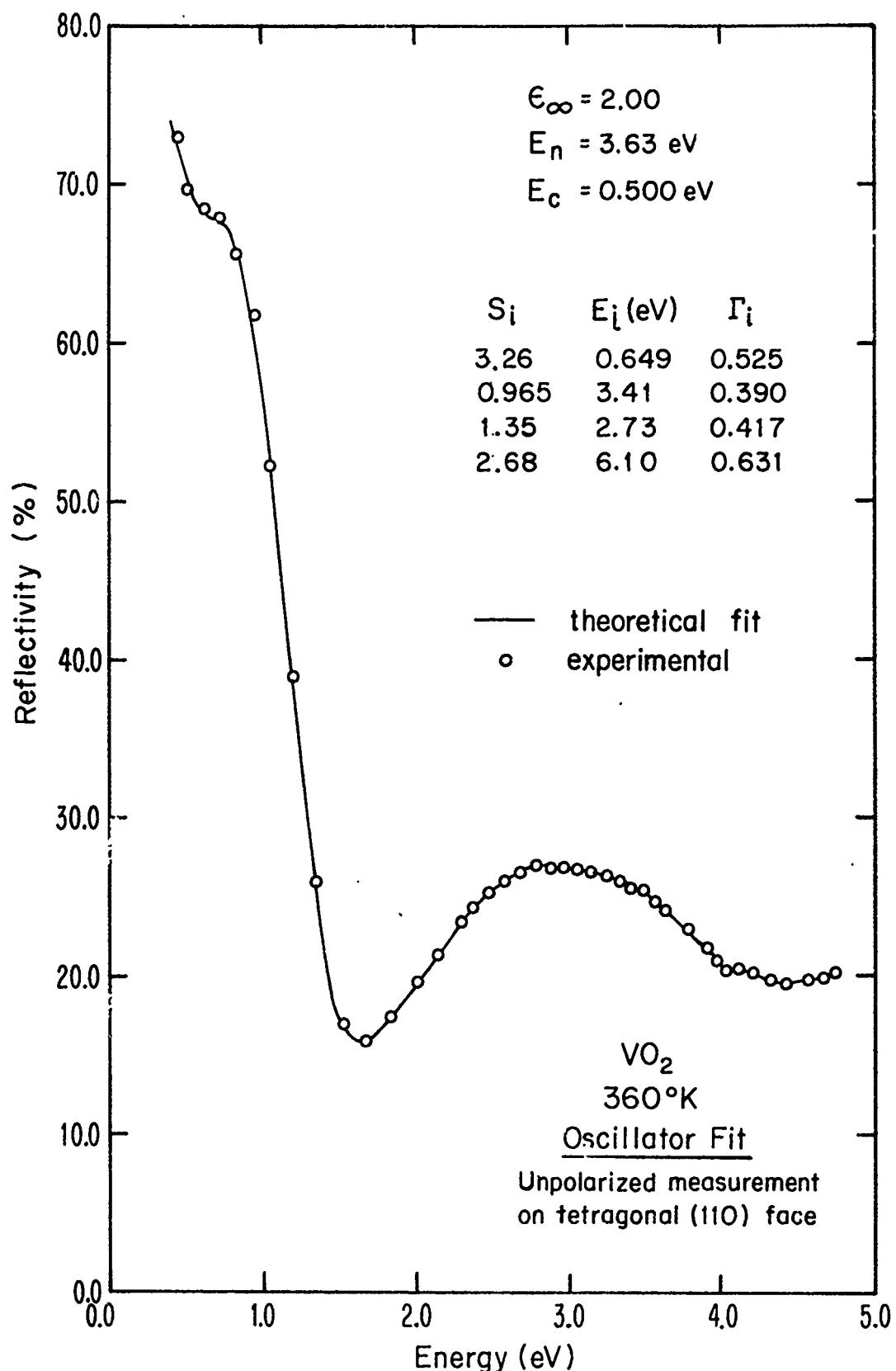


FIGURE IV-41 A theoretical fit to the experimental data of a  $\text{VO}_2$  crystal (at 360°K) by the oscillator fit method.

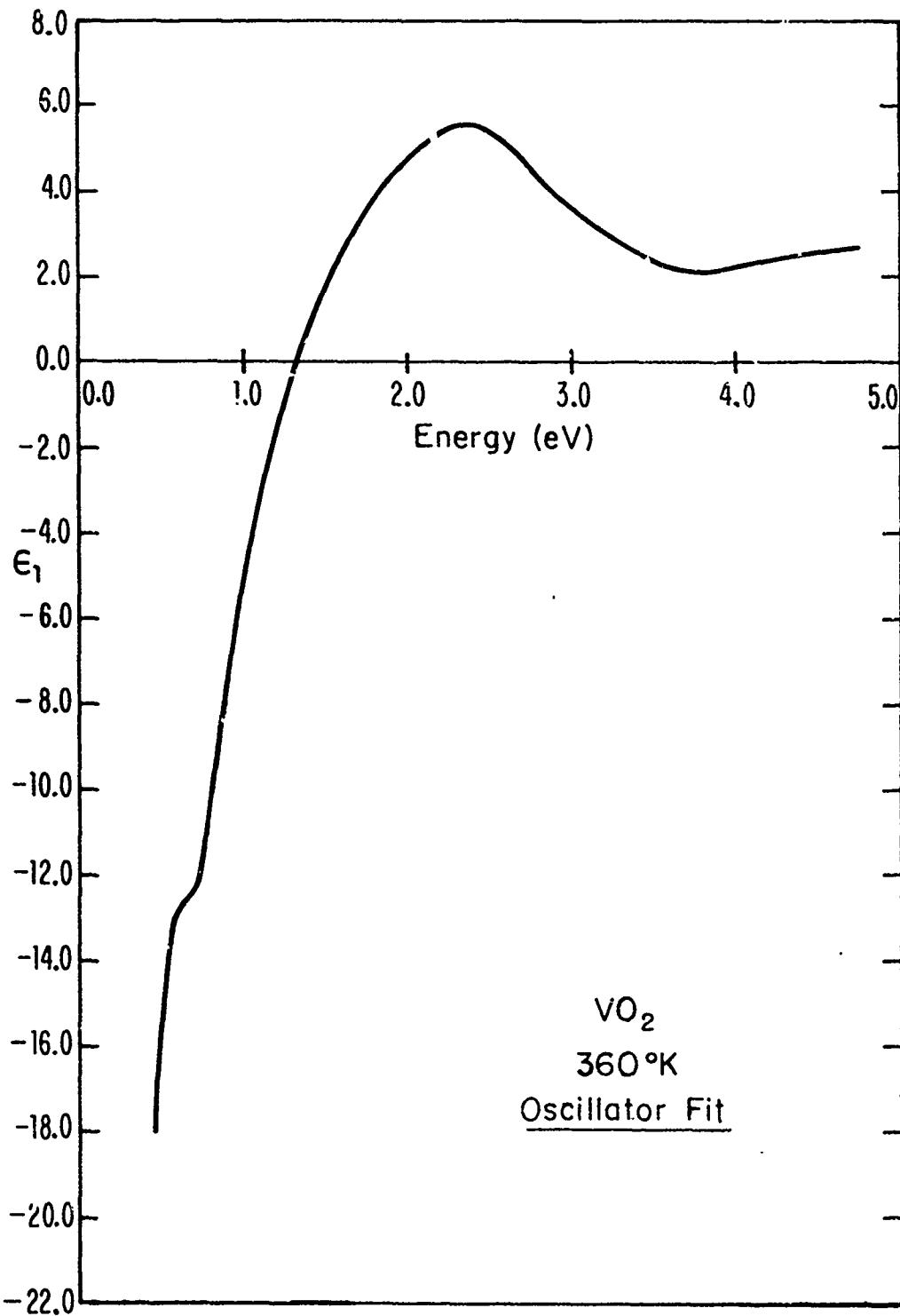


FIGURE IV-42  $\epsilon_1$  curve of the  $\text{VO}_2$  crystal, obtained from the fit shown in Fig. IV-41.

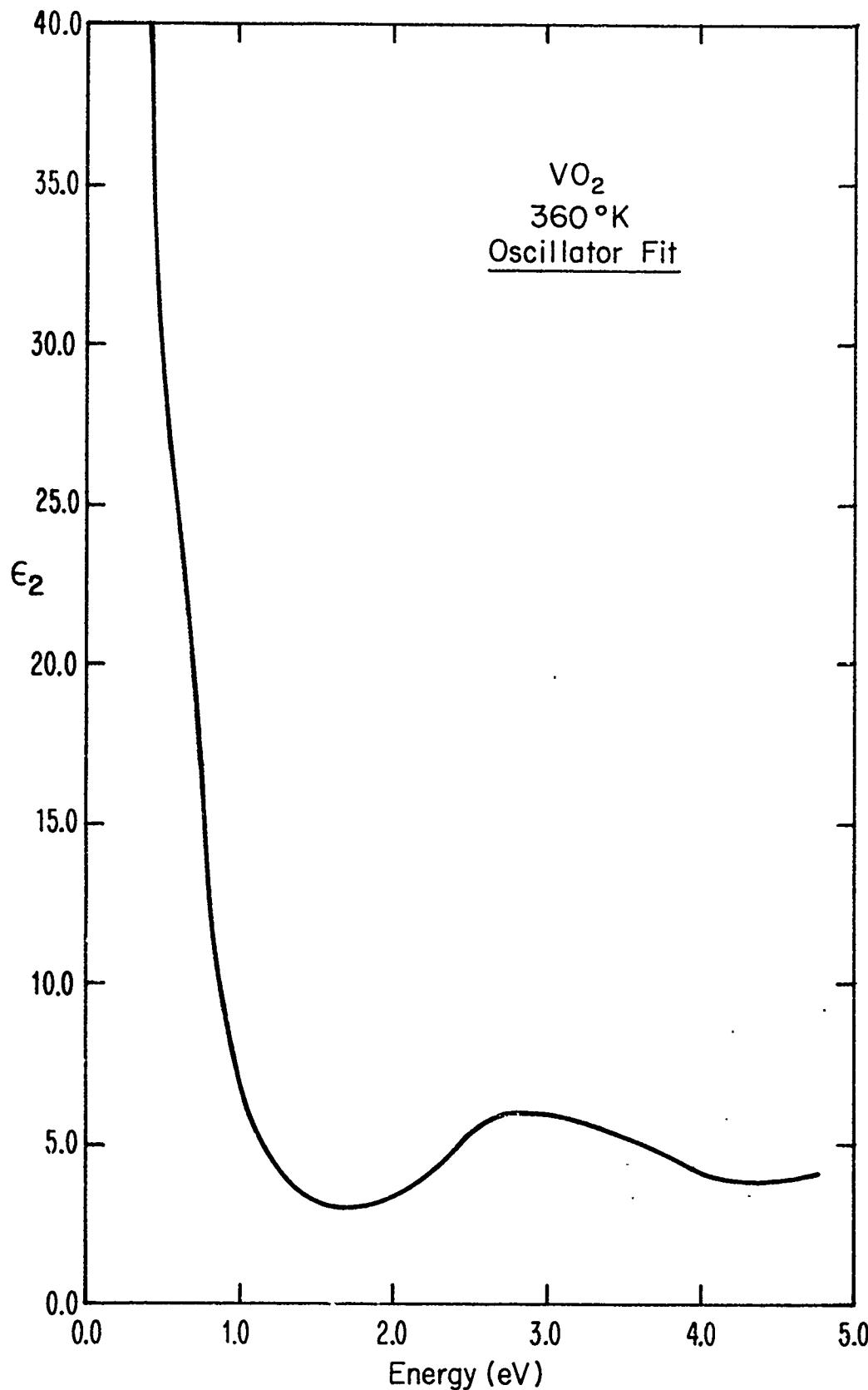


FIGURE IV-43  $\epsilon_2$  curve of the  $\text{VO}_2$  crystal, obtained from the fit shown in Fig. IV-41.

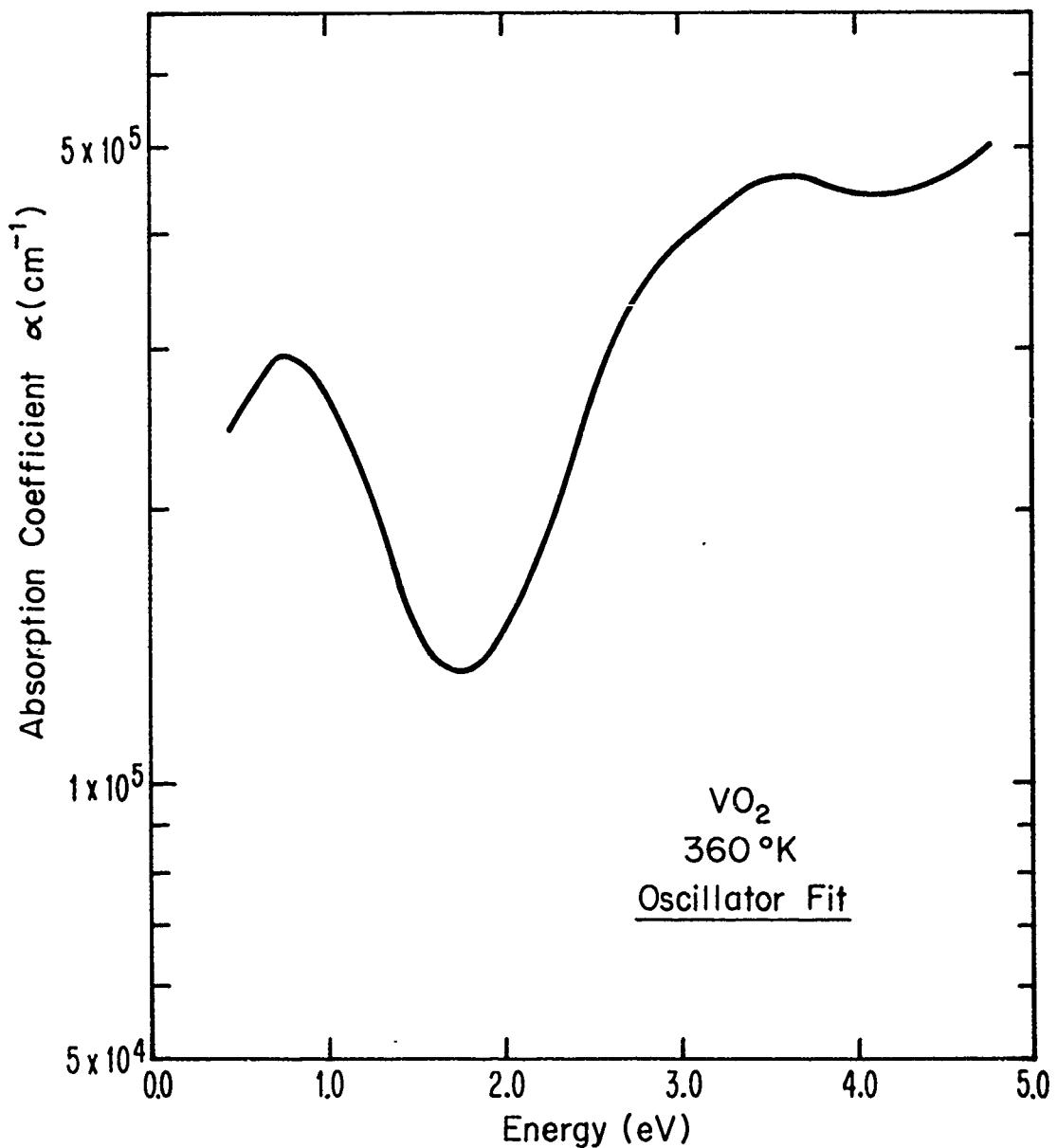


FIGURE IV-44  $\alpha$  curve of the  $\text{VO}_2$  crystal, obtained from the fit shown in Fig. IV-41.

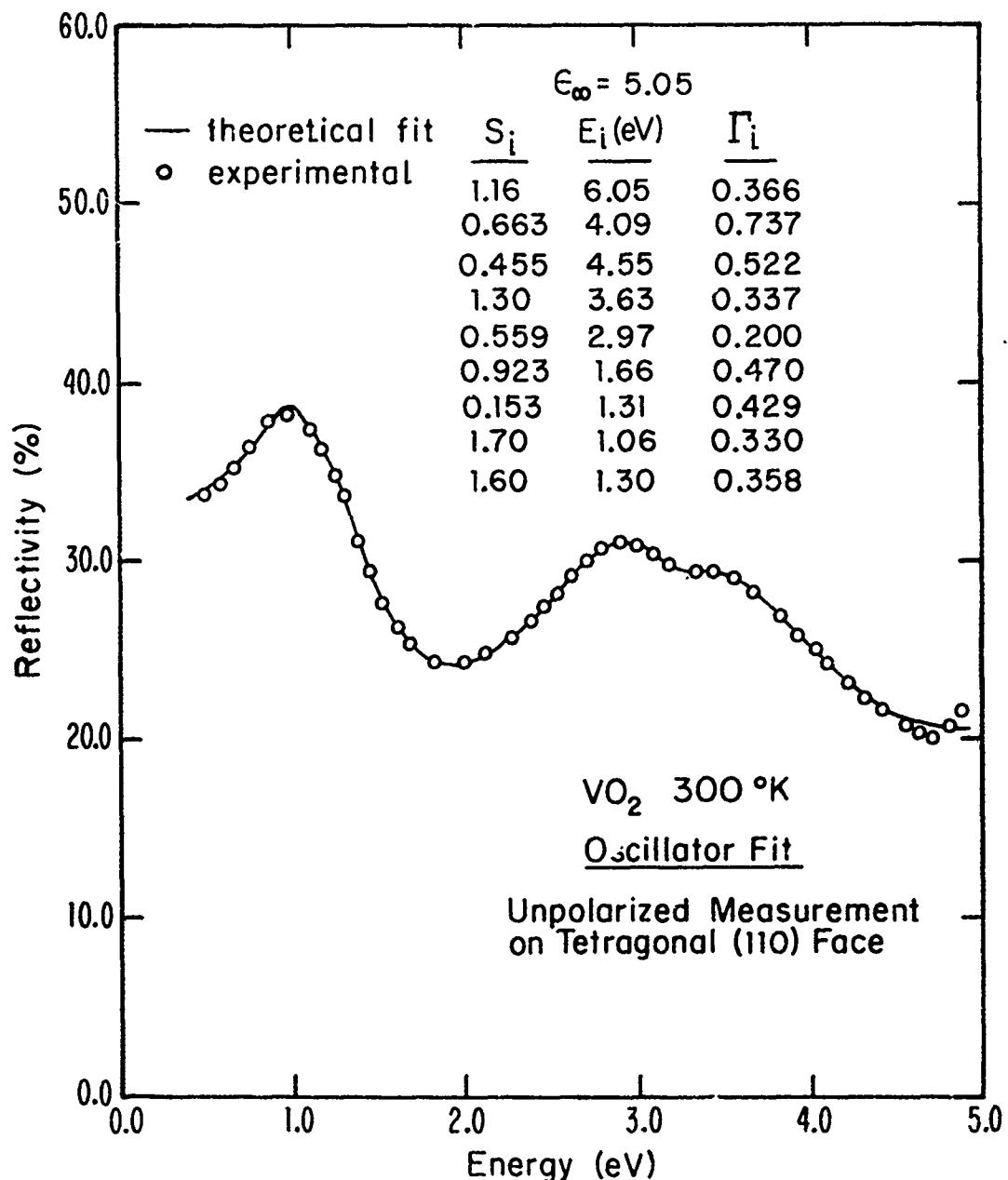


FIGURE IV-45 A theoretical fit to the experimental data of the  $VO_2$  crystal (at 300°K) by the oscillator fit method.

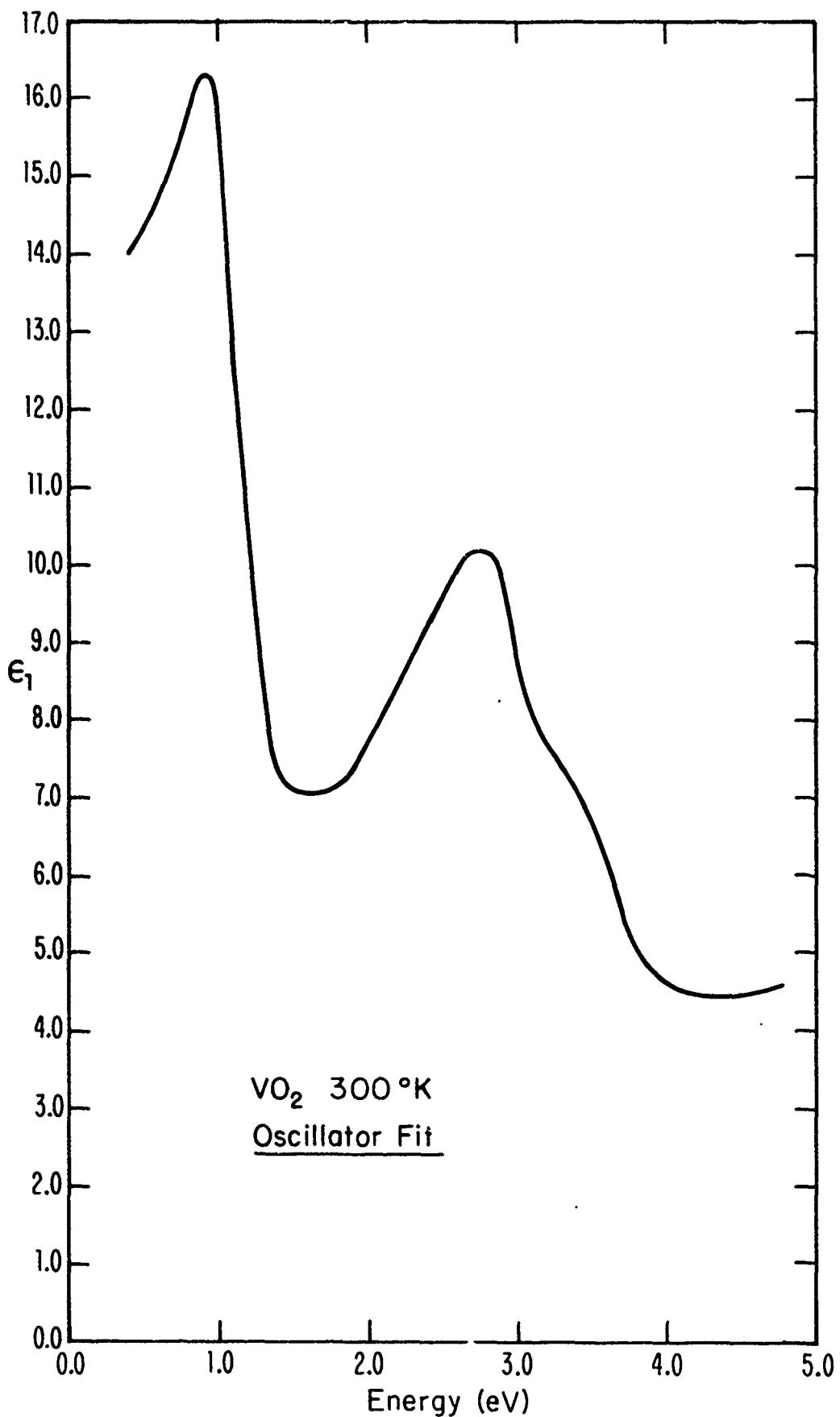


FIGURE IV-46  $\epsilon_1$  curve of the  $\text{VO}_2$  crystal obtained from the fit shown in Fig. IV-45.

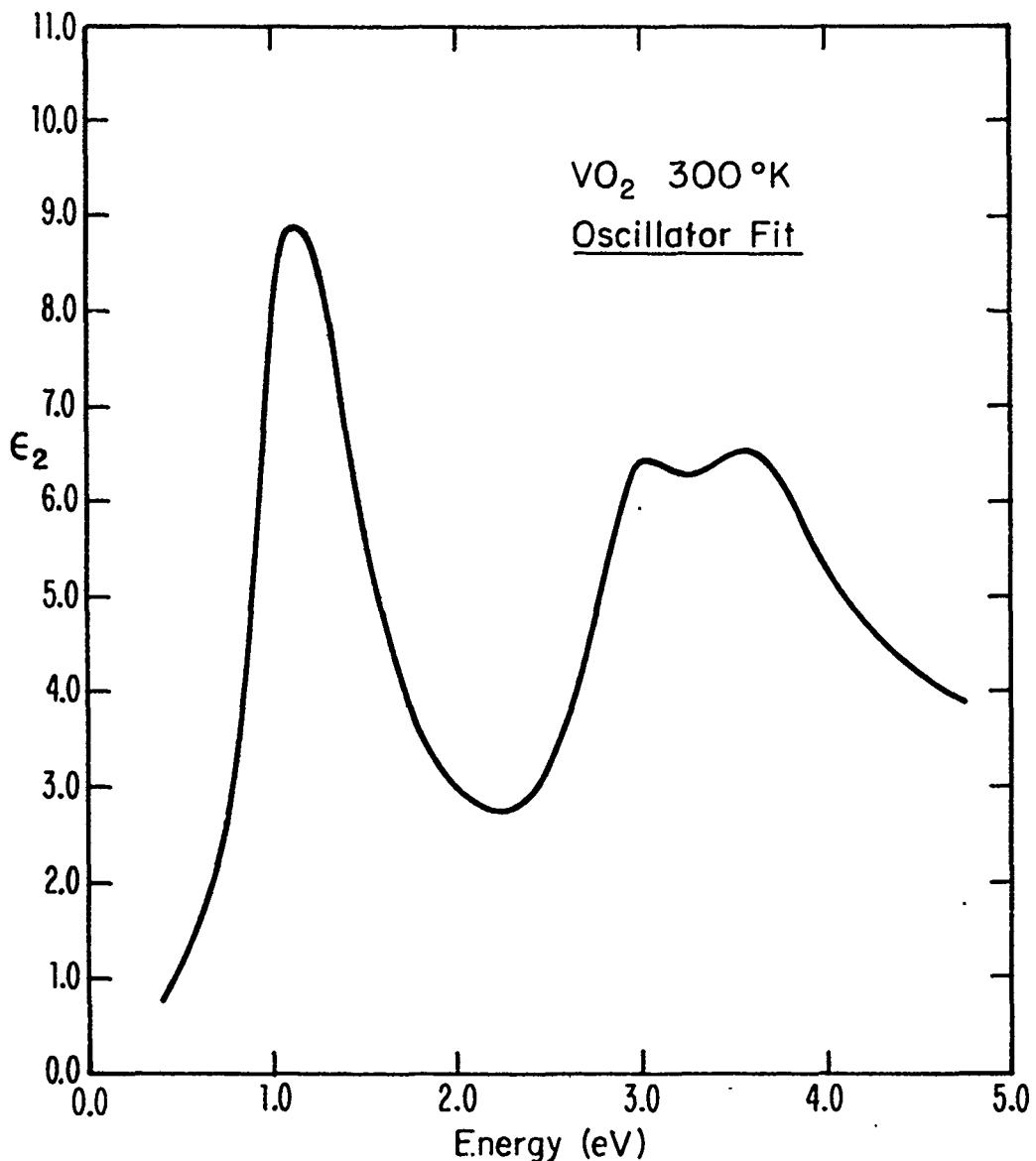


FIGURE IV-47  $\epsilon_2$  curve of the  $\text{VO}_2$  crystal obtained from the fit shown in Fig. IV-45.

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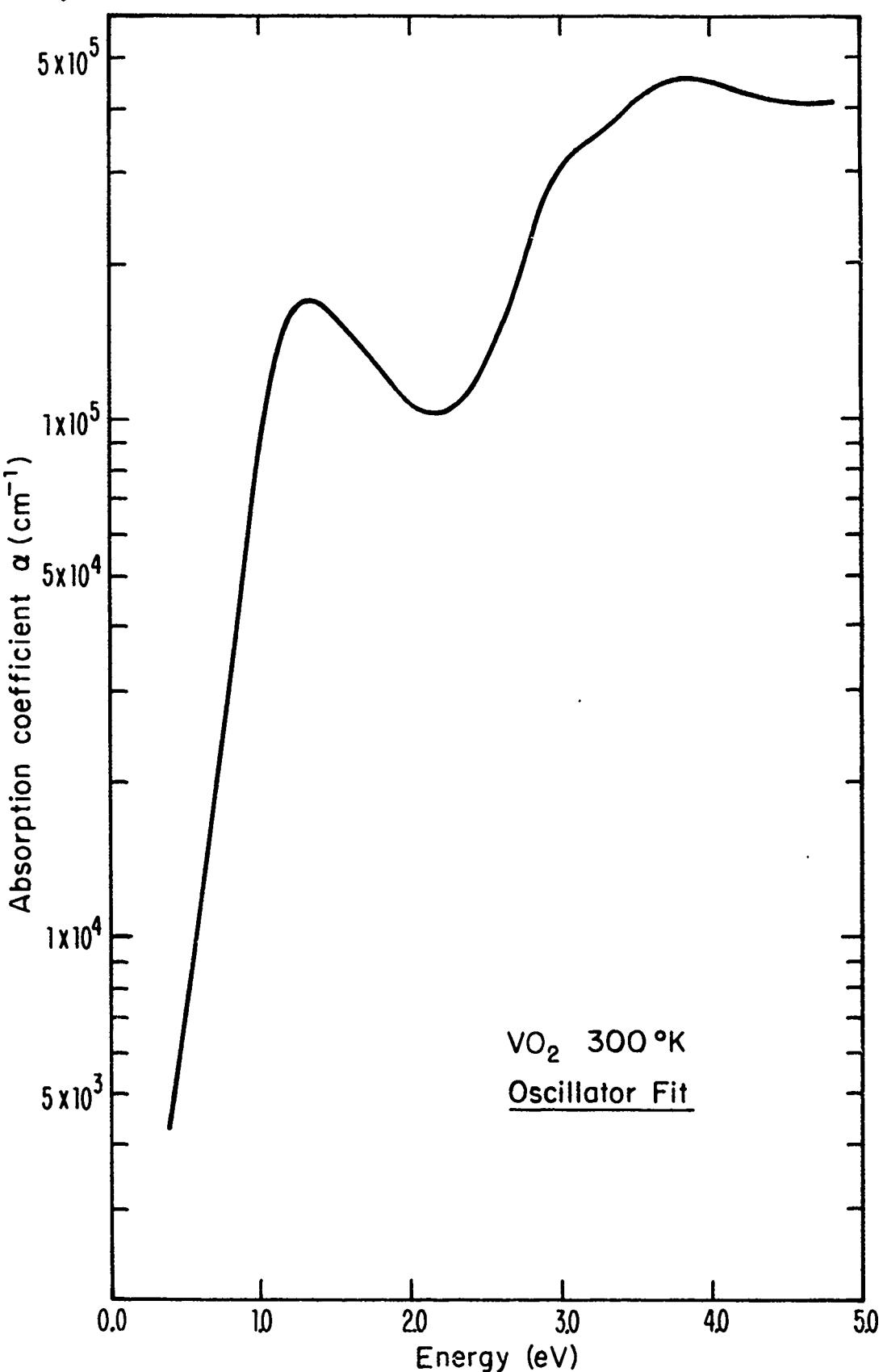


FIGURE IV-48  $\alpha$  curve of the VO<sub>2</sub> crystal obtained from the fit shown in Fig. IV-45.

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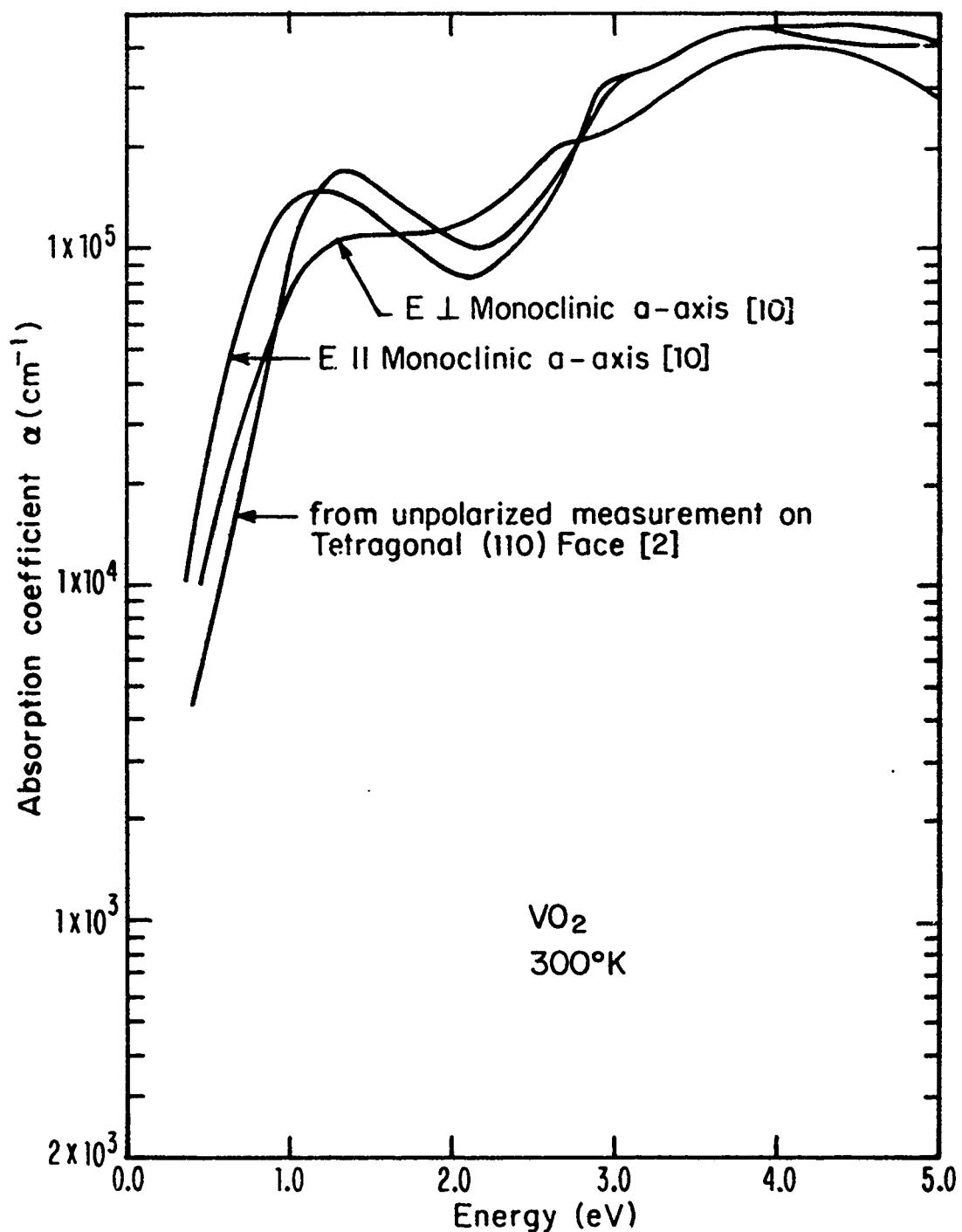


FIGURE IV-49 A comparison of the values of  $\alpha$  obtained by fitting Ladd's data (2) with those reported by Barker et al. (10).

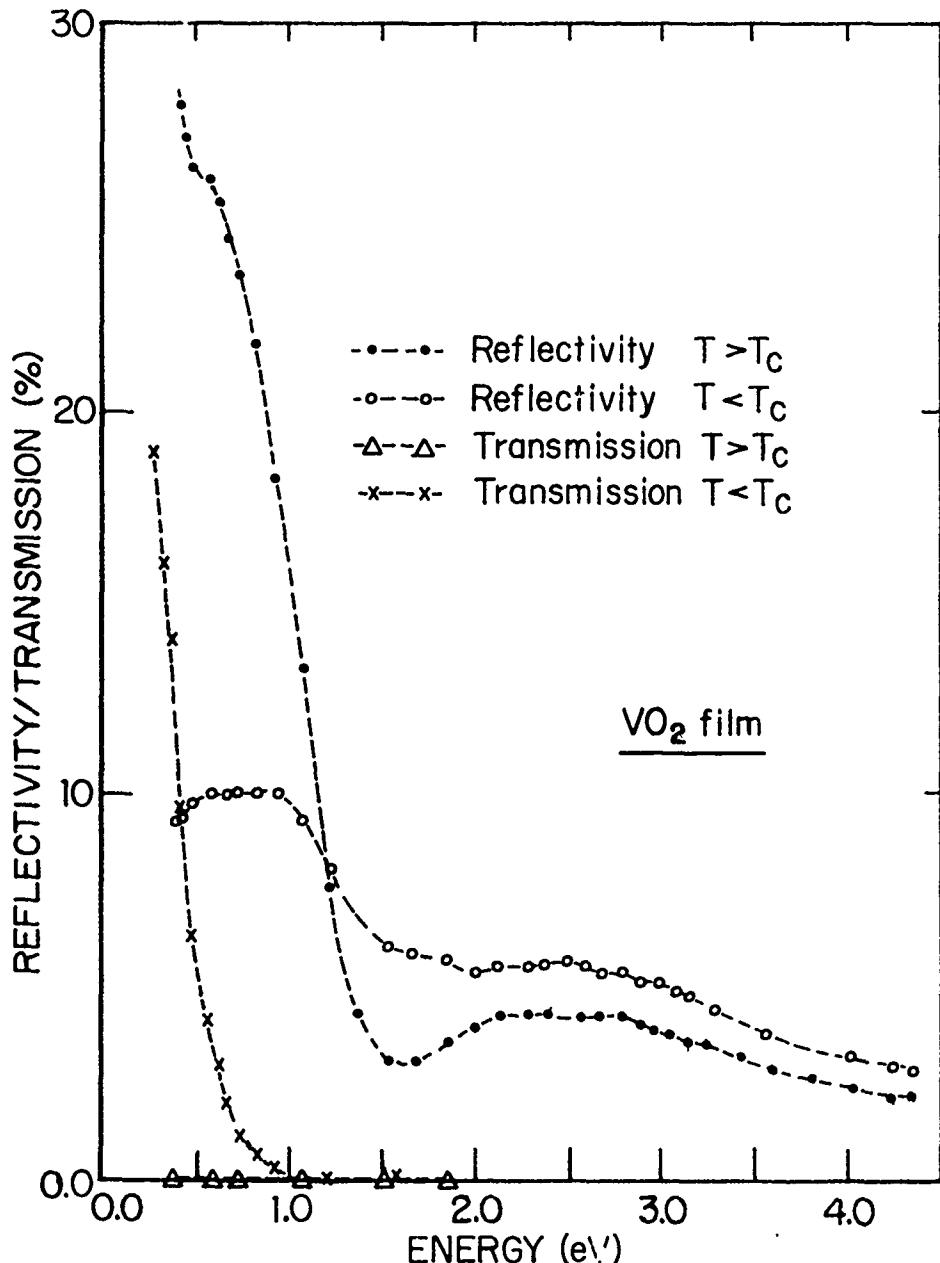


FIGURE IV-50 Apparent reflectivity and transmission of a VO<sub>2</sub> film grown by the vapor transport method, above (350°K) and below (300°K) the transition temperature.

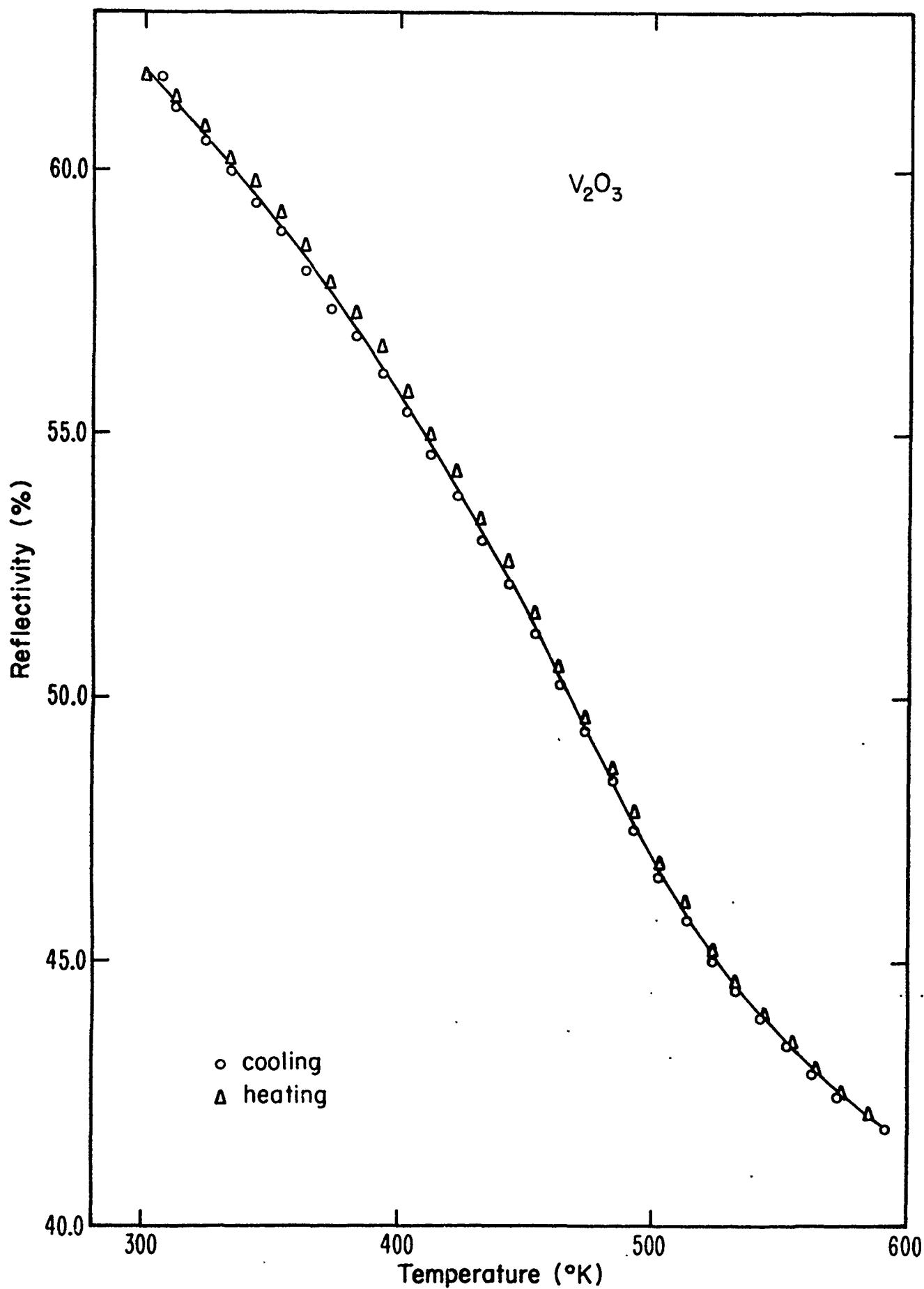


FIGURE IV-51 The reflectivity of a  $V_2O_3$  crystal at 0.65 eV as a function of temperature.

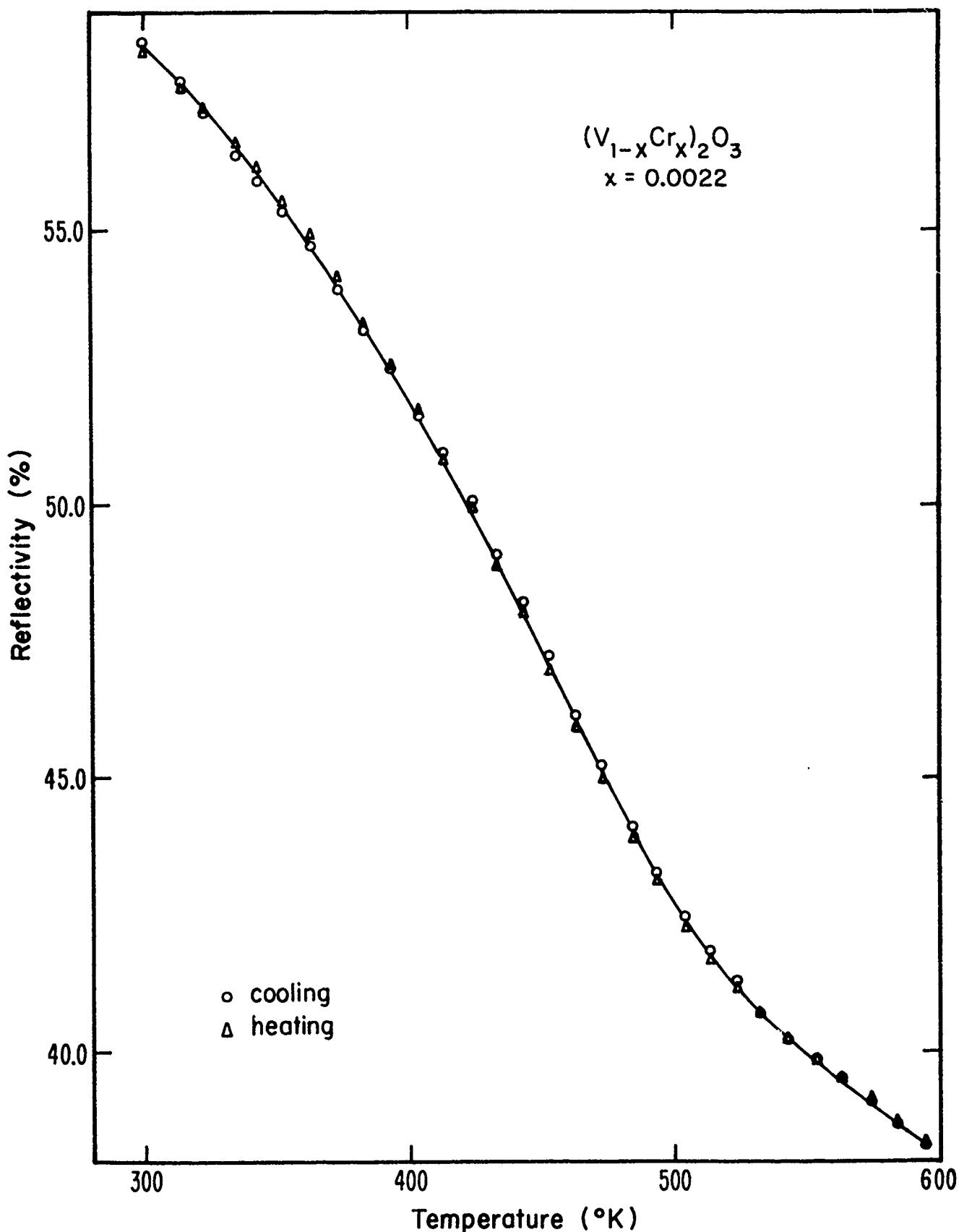


FIGURE IV-52 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal (where  $x=0.0022$ ) at 0.65eV as a function of temperature.

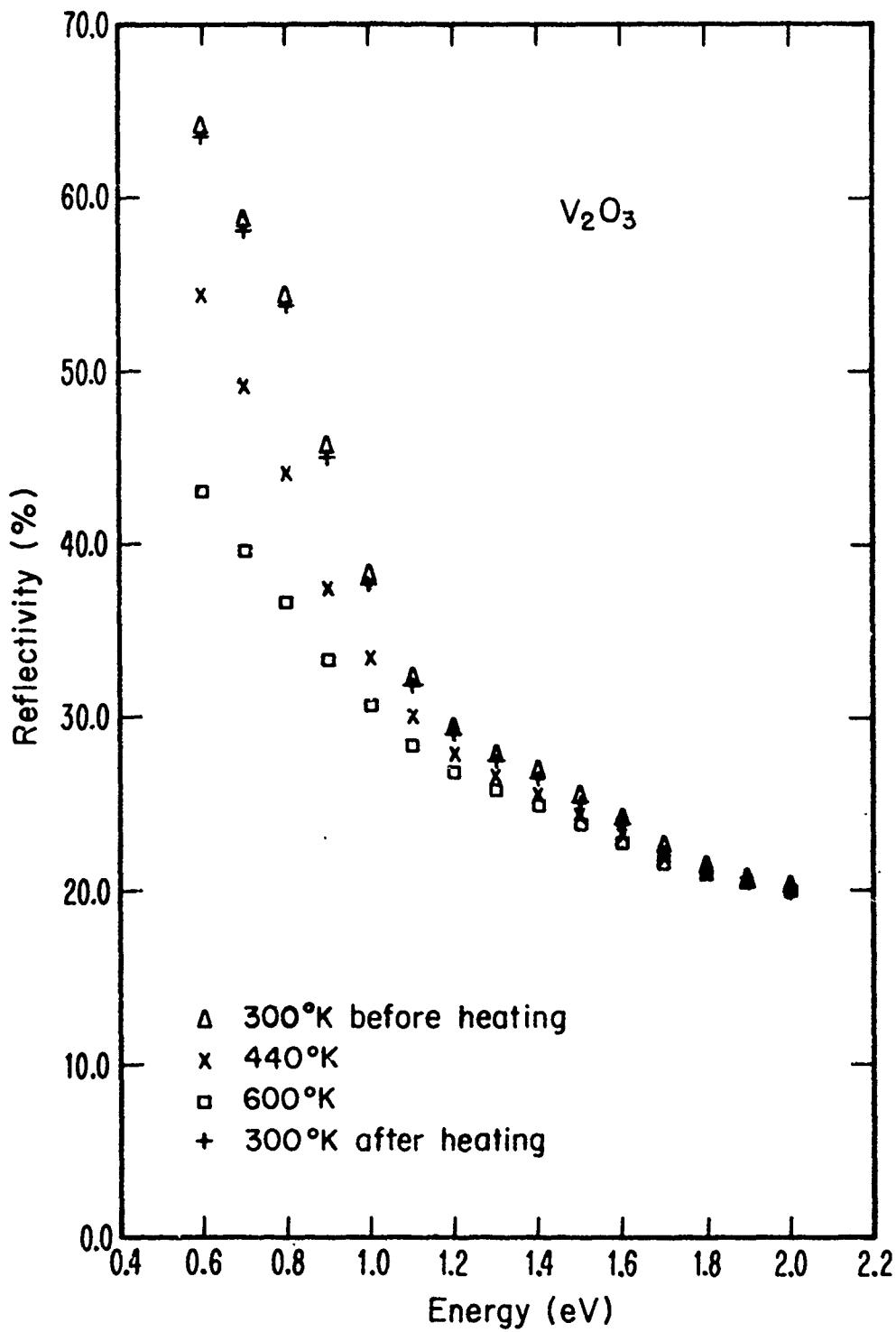


FIGURE IV-53 The reflectivity of a  $V_2O_3$  crystal at different temperatures as a function of photon energy.

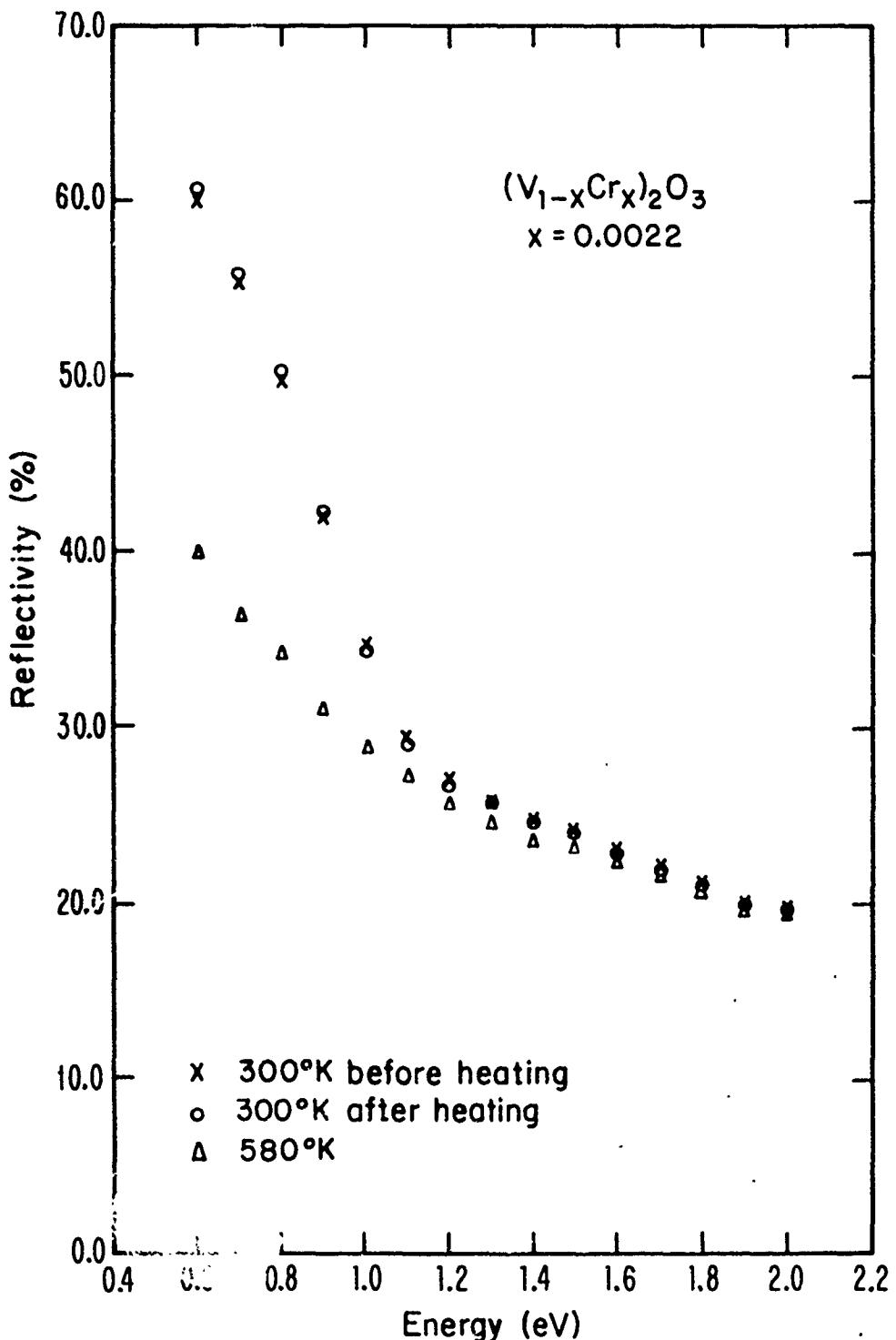


FIGURE IV-54 The reflectivity of a  $V_2O_3$  crystal (where  $x=0.0022$ ) at different temperatures as a function of photon energy.

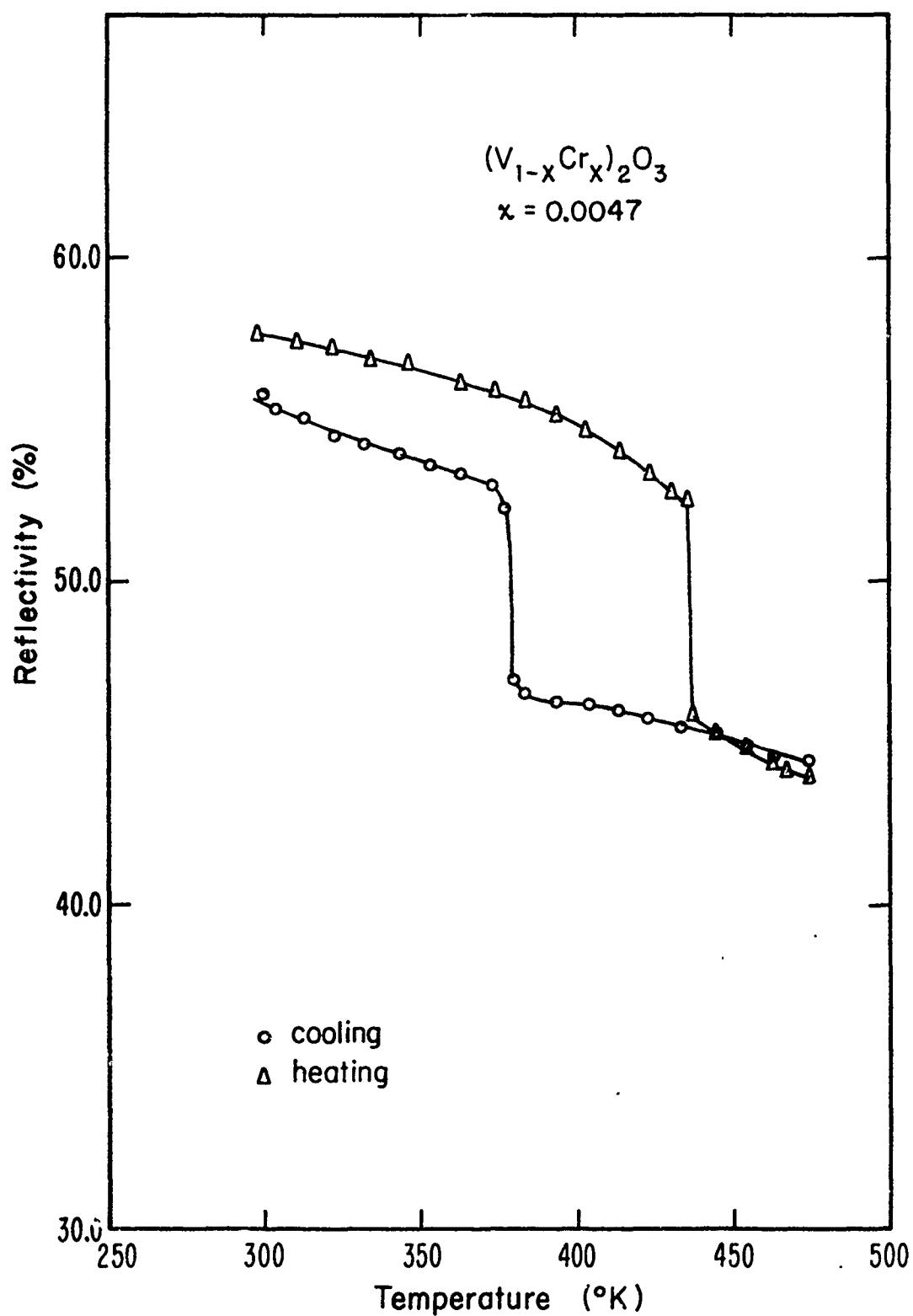


FIGURE IV-55 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal (where  $x = 0.0047$ ) at 0.65 eV as a function of temperature.

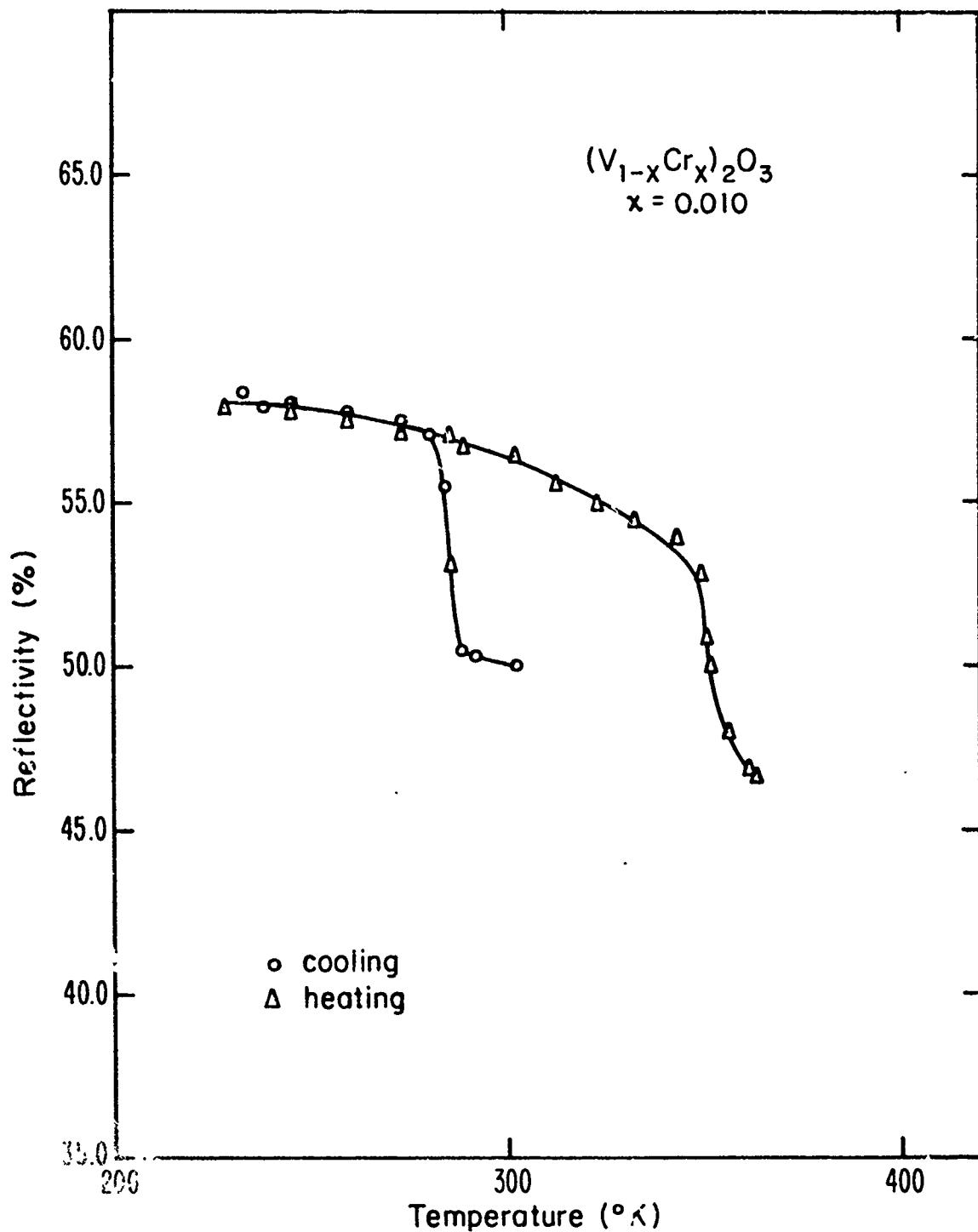


FIGURE IV-56 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal (where  $x=0.010$ ) at 0.65 eV as a function of temperatures.

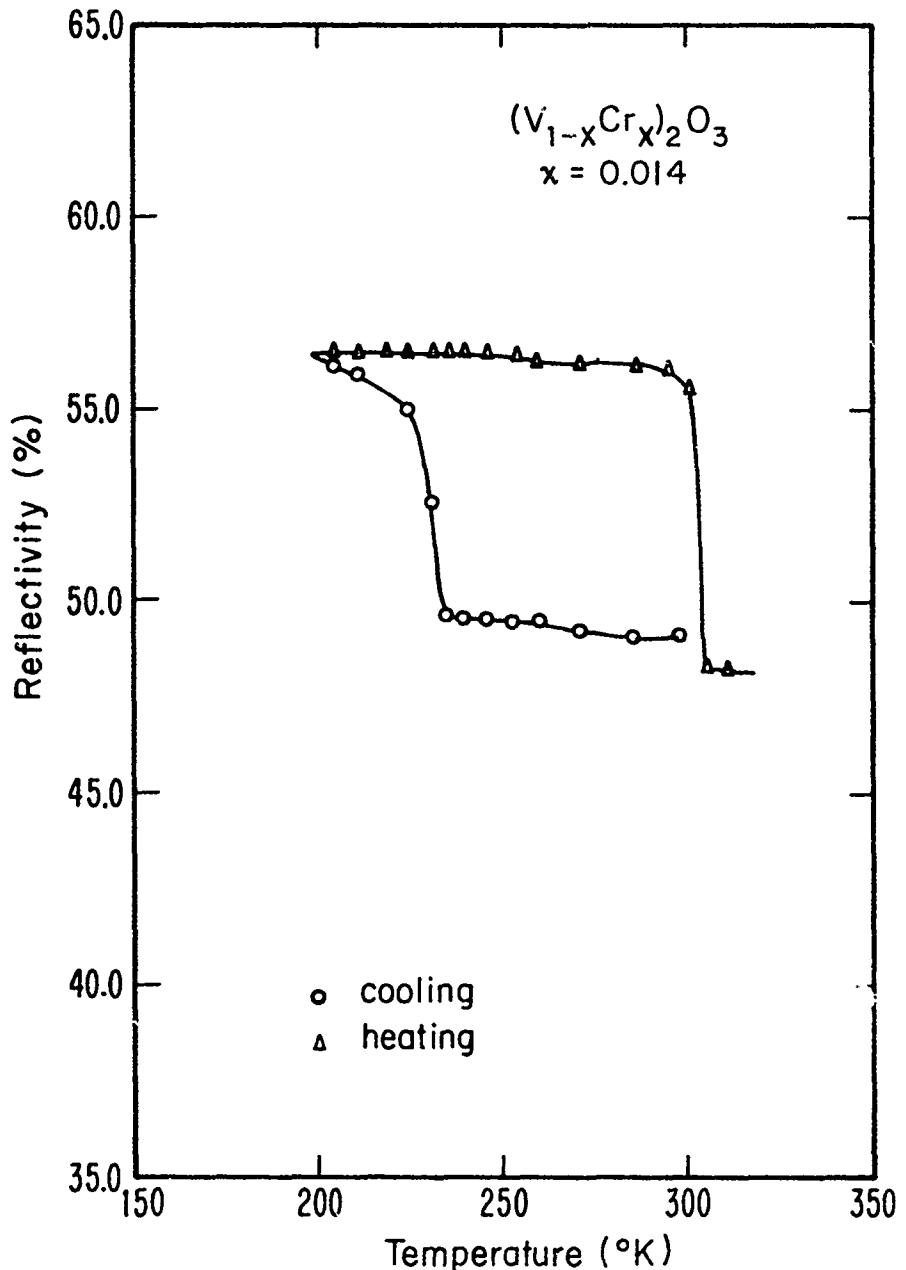


FIGURE IV-57 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal (where  $x=0.014$ ) at 0.65eV as a function of temperature.

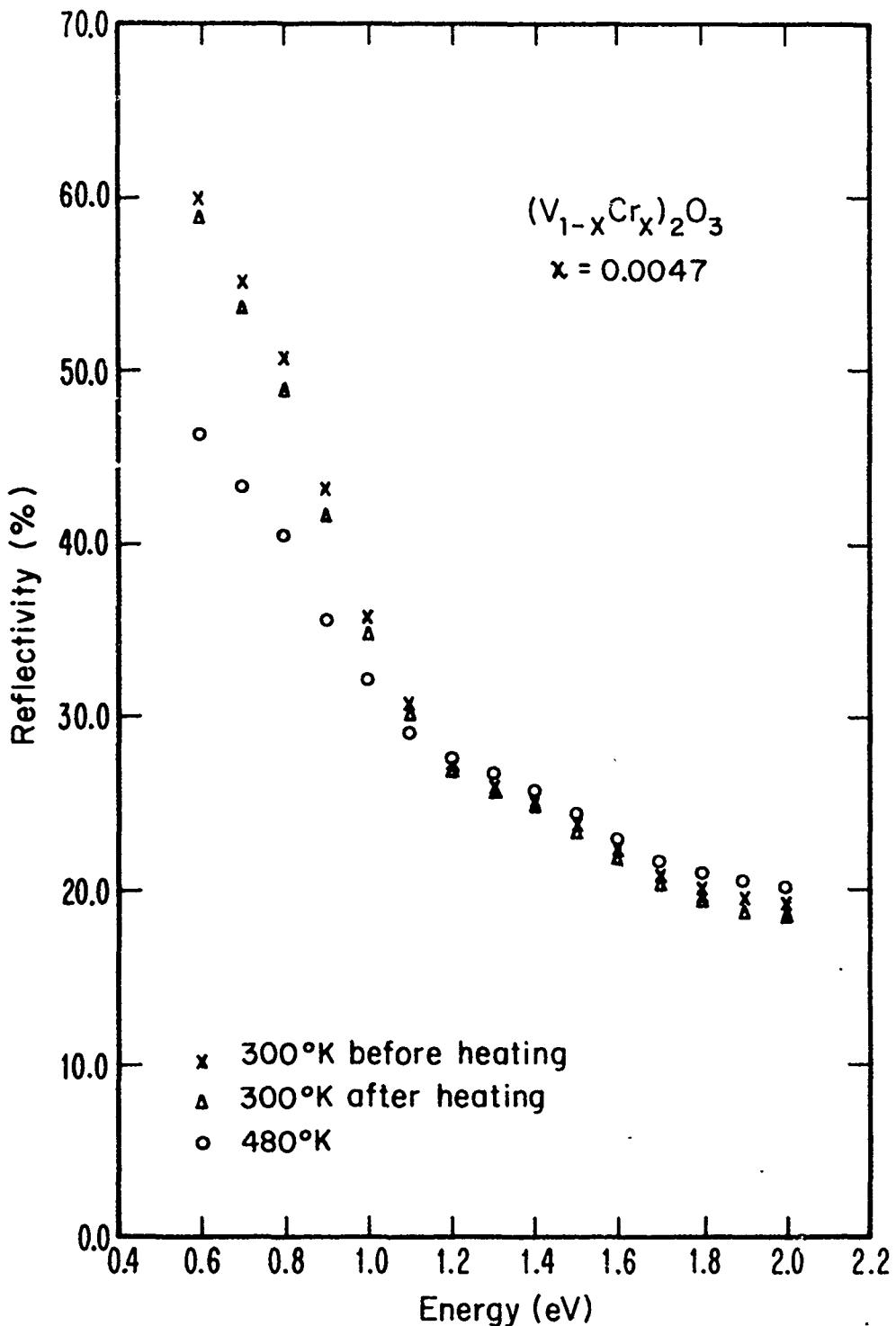


FIGURE IV-58 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal (where  $x=0.0047$ ) at different temperatures as a function of photon energy.

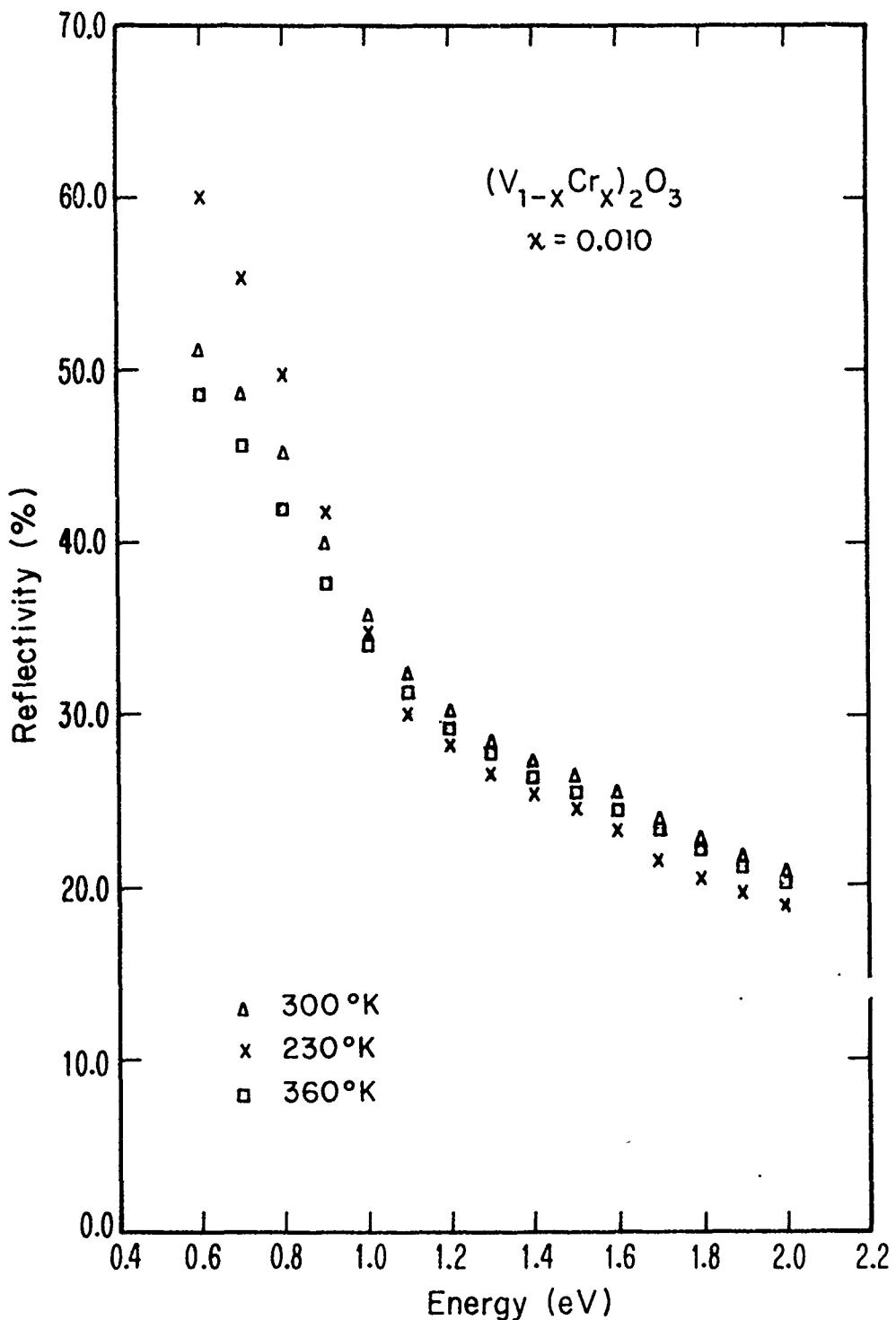


FIGURE IV-59 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal (where  $x=0.010$ ) at different temperatures as a function of photon energy.

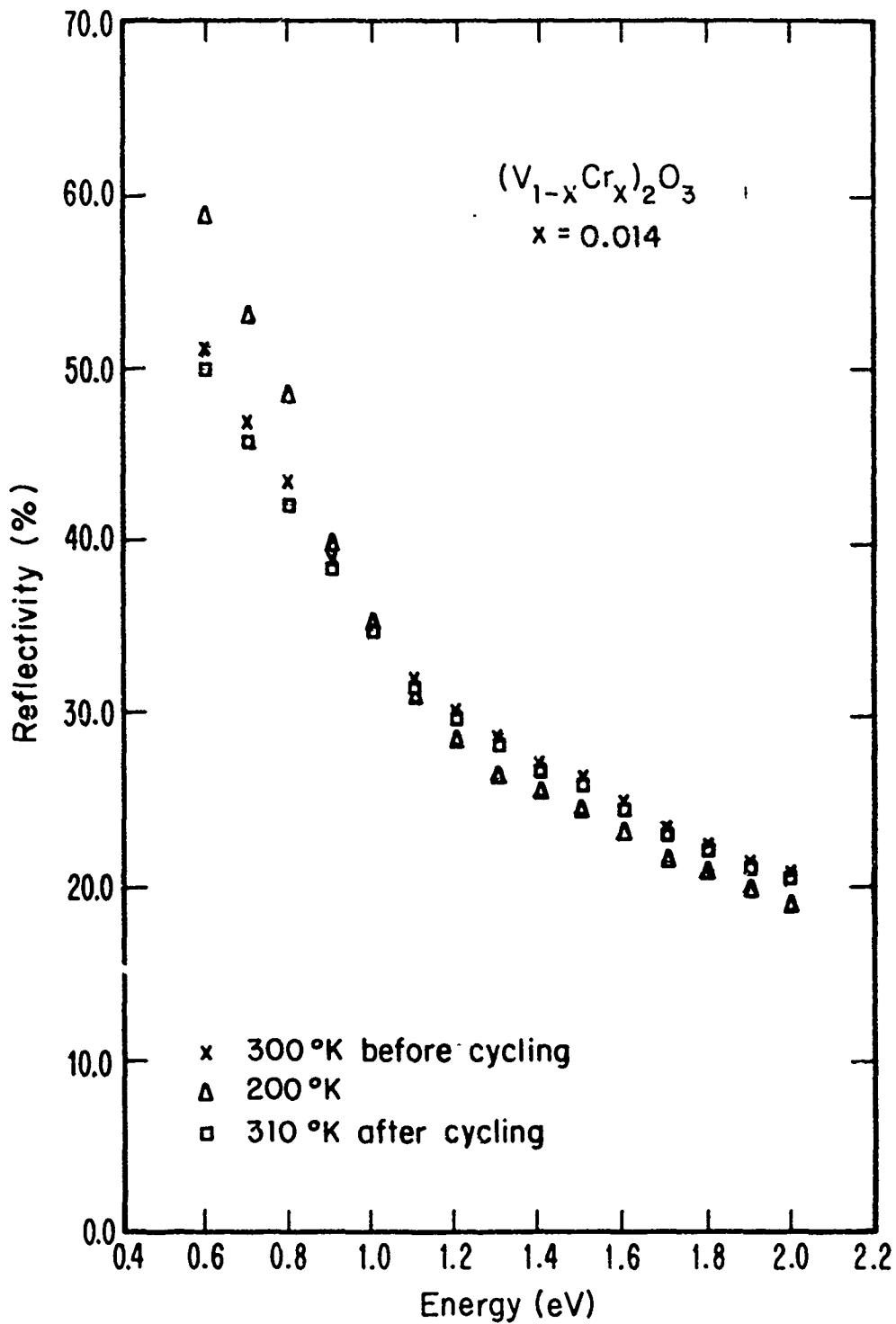


FIGURE IV-60 The reflectivity of a  $(V_{1-x}Cr_x)_2O_3$  crystal where  $x=0.014$ ) at different temperatures as a function of photon energy.

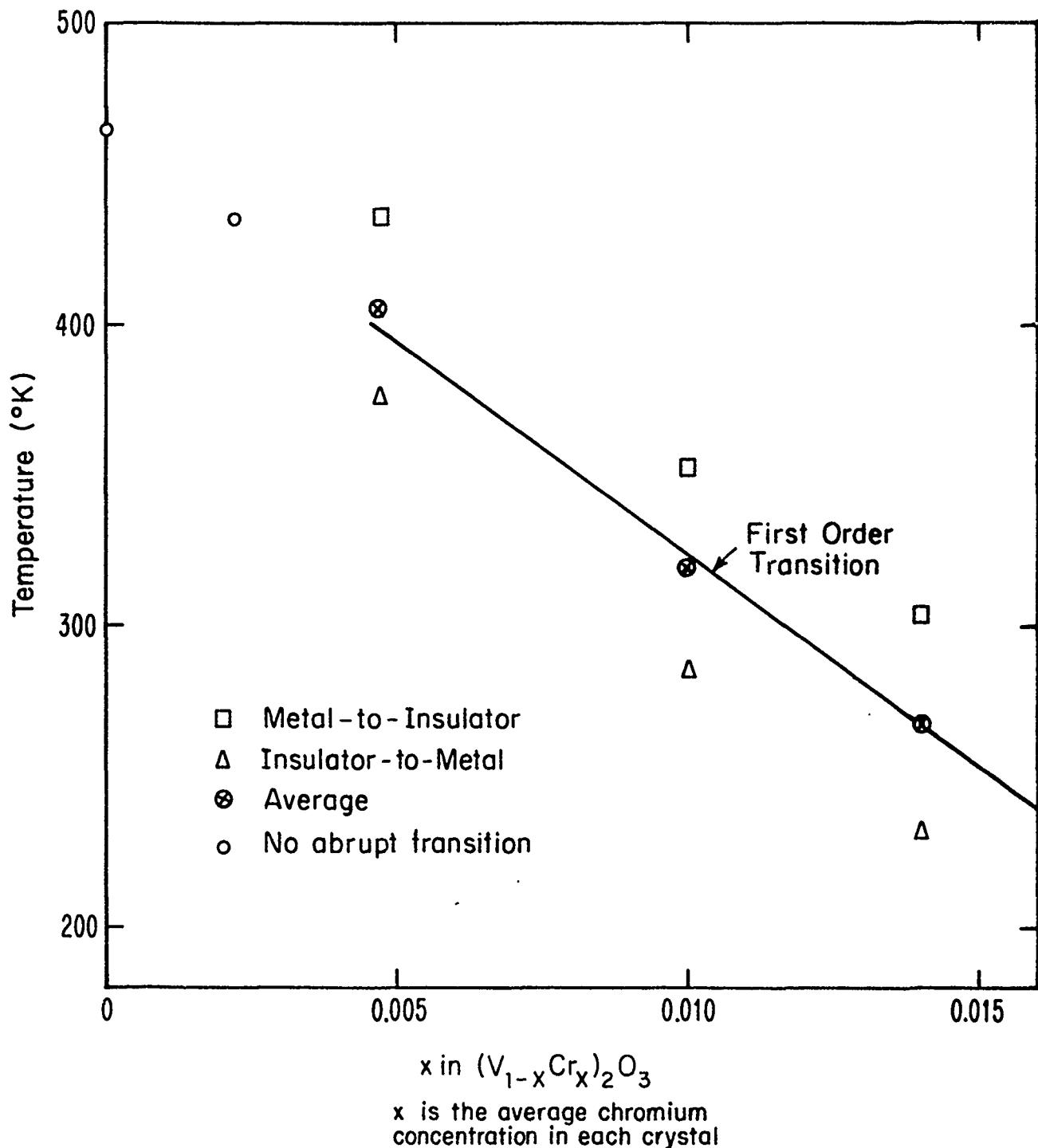


FIGURE IV-61 Transition temperatures observed in reflectivity measurements on  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$ .

## CHAPTER V

### DISCUSSION AND CONCLUSIONS

Our investigation of ... the methods of preparation and the properties of films and crystals of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$  and crystals of  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  has been reported in Chapters II, III and IV. It has gained us new experimental results which have contributed to our understanding of the basic properties of these materials. In this chapter, we shall present a critical discussion of the implication of these results, especially those of our optical measurements.\*

#### A. Discussion

1. Methods of Determining Optical Constants. In Chapters II and IV, we discussed the various methods of determining the optical constants of solids and presented our values of the constants of  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $(\text{V}_{0.982}\text{Cr}_{0.018})_2\text{O}_3$  using these methods.

Among the methods used, the angular dependence method is apparently the most direct and accurate one for obtaining the optical constants of solids. It often proved difficult, however, to obtain a narrow collimated beam of sufficient intensity for our measurements on small crystals, unless a laser was used. Since we did not have lasers of wide spectral range at our disposal, this method was necessarily limited to obtaining optical constants at only a few photon energies, in our case, at 1.96 eV and 2.54 eV.

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\* Since detailed discussion on our preparation of these materials has already been presented in Chapter II, we will not comment further on it here.

In our attempt to obtain optical constants over a wide spectral range, we used two indirect methods: Kramers-Kronig analysis and the oscillator fit method. To obtain accurate optical results using the former technique, we found that we required an independently accurate determination of the optical constants at a few wavelengths in the spectral range of interest which allowed us to choose the appropriate parameters for our extrapolation procedure. In the latter method, there are two possible approaches to derive the optical constants from the reflectivity spectra: 1) Eq. (3-21b), which was used where the calculated values of  $n$  and  $k$  at 1.96 eV and 2.54 eV were constrained to approach those obtained from the angular dependence measurements; and 2) Eq. (3-21a), which was used where there were no constraints on  $n$  and  $k$  at 1.96 eV and 2.54 eV.

From the results reported in Chapter IV, we note that the optical constants derived from these two approaches of the oscillator fit method, while they did have minor differences, were, in general, quite similar to each other, provided, of course, that an adequate fit between the calculated and experimental reflectivity data was obtained, and that there were no large errors in the near-normal incidence reflectivity measurements. The fact that the constants were similar suggests that the oscillator fit method is less sensitive to the extrapolation uncertainties than the Kramers-Kronig analysis. Therefore, in instances where we have no independent knowledge of some of the values of the optical constants in the spectral range of interest, the oscillator fit method is preferable to the Kramers-Kronig analysis. On the other hand, there

are some minor differences in the values of the optical constants obtained from the two approaches of the oscillator fit method. The values of  $n$  and  $k$  at 1.96 eV and 2.54 eV obtained using Eq. (3-21a) are not as close to those obtained by the angular dependence method as those obtained using Eq. (3-21b). Therefore, to obtain accurate values of optical constants, it appears the better approach is to use Eq. (3-21b), where the values of the optical constants at certain frequencies are constrained to approach those obtained by the angular dependence method.

We also obtained the parameters of the free electron contribution directly from the oscillator fit analysis, and from these parameters, in turn, we obtained a rough notion of the values of the optical effective mass and the optical mobility of the conduction electrons in the metallic states of both  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$ . These were reported in Chapter IV.

The oscillator fit method does have a drawback. Judging from our results, we found that some fine structures in the optical constants were not so apparent when they were derived by the oscillator fit method as when they were derived by the Kramers-Kronig analysis, mainly because of the difficulties in fitting fine structures in reflectivity spectra by the oscillator fit method.

Finally, one of the advantages of the oscillator fit method over the Kramers-Kronig analysis, and in fact one of our main reasons for studying the oscillator fit method in the first place, is that it can provide us with the optical constants of thin transparent crystals and films.

Unfortunately, we concluded from the structural and transport studies that our films were not of sufficient quality that the data from them warranted such analysis.

We conclude that the oscillator fit method and the Kramers-Kronig analysis have their respective advantages and disadvantages, but they may be used to complement each other in arriving at the optimum description of the optical parameters.

2. VO<sub>2</sub>. The nature of the low temperature insulating and high temperature metallic states of VO<sub>2</sub> has been discussed in detail by many, among them Ladd (1), Paul (2), and Hearn (3) of our laboratory. We will not repeat their arguments here, but simply describe some features of the insulating and metallic states of VO<sub>2</sub>, which may be derived from our optical measurements. The optical constants obtained from the reflectivity spectra by the oscillator fit method show that in the metallic state there is free electron absorption in the infrared wavelength region, and structure in  $\epsilon_2$  at about 0.7 eV, 2.9 eV and 3.5 eV. If we assume a one-band model and suppose that each vanadium ion contributes one conduction electron, then from the values of the parameters  $E_n$  and  $E_c$  (see Chapter IV) obtained by the oscillator fit method, an optical effective mass of the conduction electrons of  $3.3m_e$  (where  $m_e$  = free electron mass) and an optical mobility of  $\sim 0.7 \text{ cm}^2/\text{V-sec}$  is obtained. The effective mass is not very large, and thus indicates that the bandwidth of the conduction band is probably not very narrow. The optical

mobility is low and this suggests that electron correlation effects and/or electron phonon interaction may be present.\*

In the low temperature insulating state, the free electron absorption is replaced by the appearance of an absorption edge for photon energies less than 1 eV. Structures in  $\epsilon_2$  were observed at about 1.1 eV, 3.0 eV and 3.6 eV. The Hall mobility in the insulating state is low ( $\sim 0.5 \text{ cm}^2/\text{sec}$ ) (5, 6) and its value is about the same order of magnitude as the values of the Hall mobility and optical mobility of the

\* This can be illustrated by the following order of magnitude calculation. If we were to take a one non-degenerate band model and apply the theory of a free Fermi Gas, then we would obtain (4):

$$v_F = \left( \frac{\hbar}{m^*} (3\pi^2 n_c)^{1/3} \right) = 0.34 \times 10^8 \text{ cm/sec.}$$

where

$v_F$  = carrier velocity at the Fermi surface,  
 $n_c$  = carrier concentration =  $3.15 \times 10^{22} \text{ cm}^{-3}$  (see Chapter IV)  
 $m^*$  = effective mass =  $3.3m_e$  (carrier effective mass assumed to be the same as the optical effective mass).

Then the mean free path  $\ell_F = v_F \tau_F$ , where  $\tau_F$  = relaxation time of the carriers at the Fermi surface. If we assume  $\tau_F = \tau_c = 1.4 \times 10^{-15} \text{ sec}$  (see Chapter IV), then  $\ell_F = 4.40 \text{ Å}$ , which is the same order of magnitude as the lattice constant of VO<sub>2</sub>, indicating that the effects of electron correlation and/or electron-phonon interaction are probably important. In the above calculation, we have also made an approximation that all the electrons at the Fermi surface have the same effective mass and relaxation time.

conduction electrons in the metallic state (see Chapter IV), indicating that there is most likely no large change in mobility at the phase transition and that the abrupt changes of resistivity are probably caused by a large change in the number of charge carriers.

It is not clear whether the insulating and metallic states can indeed be explained in terms of a conventional band model. Even if they could, unless we have a detailed band calculation of  $\text{VO}_2$ , which is still unavailable, it would be very difficult to assign the structures in  $\epsilon_2$  to any particular optical transitions. Nonetheless, we will go ahead and interpret the structures in a conventional band scheme, keeping in mind that the interpretation will necessarily be sketchy and tentative.

In  $\text{SrTiO}_3$ , each titanium is surrounded by an octahedral configuration of six oxygen ions. Kahn and Leyendecker (7) did the energy band calculation for  $\text{SrTiO}_3$  and found that the valence bands were derived primarily from the oxygen 2p orbitals, separated by approximately 3 eV from the conduction bands which arose primarily from the titanium 3d orbitals. This calculated band structure has been found to be in reasonable agreement with experimental evidence (Schooley et al., 8). Furthermore, Cardona and Harbecke (9) measured the reflectivity of  $\text{TiO}_2$  where as in  $\text{SrTiO}_3$ , each titanium ion is surrounded by a similar (though slightly distorted in  $\text{TiO}_2$ ) octahedral arrangement of oxygen ions. They found an optical transition at around 3 eV which they ascribed to a transition from the oxygen 2p valence band to a 3d conduction band. Since  $\text{VO}_2$  crystal

symmetry is tetragonal and is very similar to  $\text{SrTiO}_3$  and  $\text{TiO}_2$ , we would expect the band scheme in  $\text{VO}_2$  in its metallic state to be very similar to that of  $\text{TiO}_2$  and  $\text{SrTiO}_3$ , that is the valence bands should be primarily from oxygen 2p orbitals and separated approximately 3 eV from the conduction bands arising primarily from the vanadium 3d orbitals. The structures in  $\epsilon_2$  at 2.9 eV and 3.5 eV are, therefore, probably due to transitions from the 2p valence bands to the 3d conduction bands. The structure at 0.7 eV is probably a transition between the d bands.

The metallic conductivity of this high temperature state can be explained in the following manner. In the  $\text{VO}_2$  high temperature state, each unit cell of the crystal contains two vanadium ions. Since each vanadium ion has five 3d orbitals, we have ten 3d bands in the solid. If we assume that the 3d band with the lowest energy is separated from the other nine d bands, then this band will be completely filled by the two extra d electrons, one associated with each vanadium ion, and we should have insulating behavior. Instead, we have metallic properties, and this suggests that the bottom band probably overlaps with one or more of the nine remaining bands. The amount of overlap is not known. Verleur et al. (10) presented arguments similar to ours for the band model, and suggested that the overlap was probably small, based on the Hall electron concentration ( $2 \times 10^{21} \text{ cm}^{-3}$ ) they obtained using a one-band model. The Hall data reported by Rosevear (11), where the Hall electron concentration ( $1.2 \times 10^{23} \text{ cm}^{-3}$ ) is about four times the maximum number of carriers allowed, also suggests multi-band conduction, and

of overlapping bands is thus quite reasonable. The amount of overlap is, however, unknown, and the large differences in the values of Hall electron concentrations suggest that it would be risky to try to derive the amount of band overlap from the Hall data.

Below 67°C, the crystal structure changes from tetragonal to monoclinic symmetry, and  $\text{VO}_2$  becomes insulating. The mechanism or mechanisms that cause this first order transition are still not clear, nor are our optical measurements capable of identifying them. However, in a simple band interpretation, we should expect the band structure of  $\text{VO}_2$  in the monoclinic phase to be similar to that of the tetragonal phase, since the monoclinic phase is only a slight distortion of the tetragonal phase. Hence, we expect the energy separation between the oxygen 2p bands and the vanadium 3d bands to remain nearly the same, but doubling the size of a unit cell (in monoclinic symmetry) will double the number of bands. There are twenty 3d bands (many of them should be degenerate) made up of the five 3d orbitals of each of the four vanadium ions per unit cell. Since insulating behavior is observed, two of these bands must be completely filled and separated from the other eighteen bands by a finite energy gap. This band scheme is substantiated by our optical measurements. In the insulating state, the structures in  $\epsilon_2$  near 3.0 eV remain essentially the same as in the metallic state, as expected. There is, indeed, an absorption edge for photon energy less than 1 eV, indicating an energy gap. Assuming that the metallic properties of  $\text{VO}_2$  are caused by band overlap, this energy gap may arise

in either of two ways: 1) the change in lattice spacings associated with the monoclinic distortion may change the band structure in such a way as to remove the band overlap; and 2) whether or not the band overlap is removed by the change in lattice spacings, the reduced symmetry of the monoclinic crystal will open up new gaps in the energy vs wave vector curves. It is then conceivable that a discontinuity in the electrical resistivity can occur if the Fermi level lands in an absolute gap in the density of states versus energy curve. Whatever the reason, an absorption edge appears in the insulating state along with a sharp drop in conductivity. The above band model suggests that the change in conductivity should be primarily due to changes in the number of carriers with no large change in mobility across the phase transition, consistent with our finding that there is probably no large change of mobility across the phase transition. An interesting point about the absorption edge is that it is gradual and not as sharp as that in germanium and silicon. The absence of a definite threshold in the absorption coefficient  $\alpha$  could be caused by several factors, such as non-stoichiometry or impurities. In summary, the optical properties of both the insulating and metallic states of  $\text{VO}_2$  can be explained in terms of a conventional band picture, despite the fact that the effects of electron correlation and/or electron-phonon interaction may be important which may make interpretation in terms of a band picture not very appropriate.

3.  $V_2O_3$ . The general features of the optical reflectivity spectra of both the insulating and metallic states of  $V_2O_3$  are quite similar to those of  $VO_2$ . Hence, in interpreting the spectra of  $V_2O_3$ , many of the arguments will be parallel to those for  $VO_2$  presented above.

At room temperature, the reflectivity spectrum exhibits free electron absorption behavior. Using the oscillator fit method, we obtained values of the parameters  $E_n$  and  $\Sigma_c$  (see Chapter IV). By assuming that in a one-band model each vanadium ion contributes two conduction electrons, we obtained an optical effective mass of  $9.1m_e$  and an optical mobility of  $0.2 \text{ cm}^2/\text{V-sec}$ . The effective mass is not very large, indicating that the bandwidth of the conduction band is probably not very narrow. The low optical mobility may suggest that electron correlation and/or electron-phonon interaction effects are present.\*

In the low temperature insulating state, the free electron absorption is replaced by the appearance of an absorption edge. The absorption coefficient  $\alpha$  does not show any threshold; instead, it gradually

\* As in  $VO_2$ , we performed the following order of magnitude calculation. Assuming a non-degenerate one band model,

$$v_F = \left( \frac{\hbar}{m^*} \right) (3\pi^2 n_c)^{1/3} = 1.7 \times 10^7 \text{ cm/sec}$$

where

$$\begin{aligned} v_F &= \text{carrier velocity at the Fermi surface,} \\ n_c &= \text{carrier concentration} = 84 \times 10^{22} \text{ cm}^{-3}, \\ m^* &= \text{optical effective mass} = 9.1m_e. \end{aligned}$$

If we assume that  $\tau_c = \tau_F = 9.8 \times 10^{-16}$  sec, then  $\ell_F$  = mean free path of the conduction carriers at the Fermi surface, and  $\ell_F = v_F \tau_F = 1.7 \text{ \AA}$ . Despite the approximate nature of the calculation, the short mean free path does suggest that electron correlation effects and/or electron phonon interaction may be important.

decreases below 1.0 eV with a structure of  $\sim 0.4$  eV. The absence of a sharp absorption edge may be due to non-stoichiometry, sample impurities, etc. However, the absence of a sharp edge could very well be intrinsic, since this feature has been observed in films and crystals of both  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$ , prepared by various growth techniques.

The  $\epsilon_2$ -vs-photon energy curves show structures at around 0.6 eV, 1.5 eV, 2.0-2.4 eV and 4.3 eV in the metallic state, and structures at around 0.4 eV, 0.9 eV, 1.5 eV, 2.0-2.4 eV and 4.3 eV in the insulating state. To interpret these structures in terms of band models would be very difficult since there has been no detailed band calculation of  $\text{V}_2\text{O}_3$ . Furthermore, our calculation of  $\ell_F = 1.7 \text{ \AA}^0$  suggests that effects of electron correlation and/or electron-phonon interaction may be important, and conventional band models may not be very appropriate in explaining the insulating and metallic states. Nevertheless, we will proceed to interpret the system in a conventional band scheme (a simple scheme, but the only one available), keeping in mind that such interpretation is by no means final.

In the metallic state,  $\text{V}_2\text{O}_3$  has the corundum structure, and thus has four vanadium ions per unit cell. Since each vanadium ion has five 3d orbitals, we have twenty 3d bands in the solid. If we assume that the lowest four d bands are separated from the sixteen higher d bands, then the solid should be insulating since the four lowest d bands should be filled by eight extra d electrons, two associated with each vanadium ion. Instead, we have metallic conductivity, suggesting that the fourth

lowest band probably overlaps with one or more of the upper d bands. The amount of overlap is not known, but the fact that the Hall effect in the metallic state is positive suggests the existence of multi-band conduction. As in  $\text{VO}_2$ , oxygen 2p bands are below the 3d bands. In  $\text{VO}_2$ , the energy between the 2p bands and the lowest d band has been estimated to be  $\sim 3 \text{ eV}$ . In  $\text{V}_2\text{O}_3$ , the Fermi level should be higher, since it is the fourth lowest d band that is supposed to overlap with the higher bands. The energy separation between the oxygen 2p bands and the Fermi level is therefore likely to be larger, and the structure in the  $\epsilon_2$  curve at  $4.3 \text{ eV}$  is assigned to this transition.

$\text{Ti}_2\text{O}_3$ , like  $\text{V}_2\text{O}_3$  at room temperature, has a corundum structure. Since it has only one outer d electron per titanium ion after all the bonding requirements are satisfied, we expect the two lowest d bands to be filled, and  $\text{Ti}_2\text{O}_3$  should be insulating, which is indeed the case. Scouler and Raccah (12) measured the optical reflectivity of  $\text{Ti}_2\text{O}_3$ , and assigned the peak at  $4.8 \text{ eV}$  in the  $\epsilon_2$  curve to be from an optical transition from the oxygen 2p bands to an empty d band. It would, then, seem that, in  $\text{V}_2\text{O}_3$ , the energy separation between the 2p bands and the Fermi level should be larger than  $4.3 \text{ eV}$ . However, since vanadium is on the right of titanium in the periodic table, the vanadium ions will have larger ionic effective charges than the titanium ions; thus the 3d band should be closer to the 2p bands in  $\text{V}_2\text{O}_3$  than in  $\text{Ti}_2\text{O}_3$ . Hence, we have two compensating effects in  $\text{V}_2\text{O}_3$ , and together with the possibility of difference in bandwidths in the 3d bands in  $\text{V}_2\text{O}_3$  and  $\text{Ti}_2\text{O}_3$ , we feel our assignment is quite reasonable.

In the low temperature insulating state,  $V_2O_3$  becomes insulating, and its crystal structure changes to monoclinic symmetry. The mechanism or mechanisms that cause this first order transition are still not clear, and our optical measurements cannot identify them. However, in a simple band interpretation, we expect the band structure of  $V_2O_3$  in the monoclinic phase to be similar to that of the corundum phase since the monoclinic phase is only a slight distortion of the corundum phase. Hence, we expect the energy separation between the oxygen 2p bands and the vanadium 3d bands to remain nearly the same. Unlike  $VO_2$ , in the low temperature monoclinic phase, the number of vanadium ions per unit cell remains the same as in the corundum phase (four). Therefore, we still have twenty bands, many of them degenerate, made up of the 3d orbitals of each of the four vanadium ions per unit cell. Since insulating behavior is observed, four of these bands must be completely filled and separated from the other sixteen bands by a finite energy gap. This simple band scheme is consistent with our optical measurements. In the insulating state, the structures in  $\epsilon_2$  near 4.3 eV remains essentially the same as in the metallic state. There is, indeed, an absorption edge for photon energy less than 1 eV, indicating an energy gap. Since this energy gap is not sharp and there is an additional structure near about 0.4 eV, the exact assignment of the energy gap is difficult. The cause of this energy gap is also not clear; as discussed earlier in the case of  $VO_2$ , the energy gap observed in our optical measurements could arise in several ways: 1) the change in lattice spacings associated with the

monoclinic distortion may remove the band overlap, or 2) the reduced symmetry of the monoclinic crystal (the weak antiferromagnetism in the insulating states of  $V_2O_3$  further reduces the symmetry) will open up new energy gaps in the energy vs wavevector curves. If the Fermi level lands in an absolute gap in the density of states vs energy curve, we can have a discontinuity in the electrical resistivity and an absorption edge in our optical measurements. For whatever reason, an absorption edge appears in the low temperature state along with a sharp drop in conductivity.

4.  $(V_{0.982}Cr_{0.018})_2O_3$ . The reflectivity spectrum of the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal at room temperature is very interesting. The structures in the  $\epsilon_2$  curve appear at about the same energies as in the inmetallic state of  $V_2O_3$ . McWhan, Remeika et al. (11, 12) suggested that the transition from a metal to an insulator on temperature increase might be of the Mott type, that is, the paramagnetic insulating state might be a Mott insulator where the electrons are localized. According to the phase diagram (13) shown in Chapter I, the  $(V_{0.982}Cr_{0.018})_2O_3$  crystal should be in the paramagnetic insulating state at the temperature of our measurement ( $300^{\circ}\text{K}$ ). Thus, although the details of the reflectivity spectrum of a Mott insulator have not been worked out, it would appear that the density-of-states structure and the matrix elements for the optical transitions would — if the original assertion of McWhan et al. is correct, and in view of our results — have to remain essentially unaffected by the electronic correlations.

However, judging from the optical data above, it seems that the metal to insulator transition in a chromium doped crystal with increasing temperature could well be explained by a conventional band model. The rationale that, in  $V_2O_3$ , the metallic conductivity is probably the result of band overlap can also be applied to the explanation of the metallic state of a doped crystal. At the transition, the crystal becomes insulating and undergoes a volume change — a decrease of  $\sim 2\%$  in volume. Though the symmetry of the crystal remains the same, viz., corundum, the change of volume could very well remove the band overlap and result in the insulating properties. By this argument, we do not have to invoke the Mott theory. Furthermore, the above argument suggests that the optical properties of the insulating state are probably similar to those of the metallic state of  $V_2O_3$  in the visible and ultraviolet regions, and further suggests that there should be an appearance of an absorption edge. Our optical measurements, reported earlier, did show, of course, that the optical properties of  $(V_{0.982}Cr_{0.018})_2O_3$  in its paramagnetic insulating state were similar to those of the metallic state of  $V_2O_3$ , and that an absorption edge did appear in the insulating state of  $(V_{0.982}Cr_{0.018})_2O_3$  for photon energy less than 1.0 eV. The absorption edge, as in the low temperature insulating state of  $V_2O_3$  and  $VO_2$ , is gradual and not as sharp as in silicon and germanium. In summary, the optical properties of  $(V_{0.982}Cr_{0.018})_2O_3$  in its insulating state can be explained in terms of a conventional band model, where the band structure is similar to that of the metallic state of  $V_2O_3$ , except in the former case, there is an

absorption edge in the infrared wavelength region. This absorption edge may be due to a removal of band overlap at the prescribed Mott transition. This is not to say that the insulating state of  $(V_{0.982}Cr_{(0.018)}_2O_3$  is not due to a highly correlated electron gas, only that our optical measurements do not require that explanation.

5.  $(V_{1-x}Cr_x)_2O_3$ . Our optical reflectivity studies confirmed the existence of two types of phase transition in the  $(V_{1-x}Cr_x)_2O_3$  system: a first order transition and a higher order transition. We also noted sharp changes in reflectivity at the first order phase transition with large hysteresis (see Chapter IV). It is interesting that the first order transition from a metallic to an insulating state with increasing temperature occurs for  $x$  between about 0.005 and 0.015, the same region where there is the coexistence of both the metallic and insulating phases at room temperature.\* A crystal with a chromium concentration in the aforesaid region will then have both insulating and metallic phases at room temperature. If the insulating phase is in the Mott insulating state, then the electrons in this phase should essentially be localized. The electrons in the metallic phase should, however, be itinerant, and they can conceivably go into the insulating phase, effectively screen out the excitons associated with the Mott insulating phase, and cause the insulating phase to go into the metallic phase. If the chromium doping concentration is evenly distributed across such a crystal, it would be difficult to imagine how such a coexistence of two phases could occur.

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\*This was confirmed by our x-ray diffraction measurements, reported in Chapter II.

Actually, if the insulating state is a Mott insulating state, in accordance with our above arguments, a coexistence of two phases would still be hard to explain, even if the chromium concentration is not evenly distributed. The actual distribution of the metallic and insulating phases and the local chromium concentration fluctuation, if any, in such a crystal are, however, not known, and experiments should be done to determine them. Experiments of this nature, more detailed suggestions of which will be presented later, can conceivably yield some insight into the nature of the transition.

6. Summary. Our optical studies show that the optical properties of  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  do not differ in nature from those of conventional solid state materials, and can be interpreted in terms of band models. Optical constants have been evaluated for these materials, all of which exhibited a gradual absorption edge in their insulating states. Approximate values of optical effective mass and optical mobility of the conduction electrons in the metallic states of  $\text{V}_2\text{O}_3$  and  $\text{VO}_2$  were obtained. The mean free paths of these conduction electrons have also been shown to be of the same order of magnitude as the lattice constants of the materials, indicating that perhaps electron correlation or polaron effects are important and that conventional band schemes may not be appropriate. Therefore, our explanation of the optical data in terms of a conventional band picture represents a simple, but the only available approach. Until detailed theoretical studies are done on these materials where effects of electron correlation and/or electron

phonon interaction may be important, further interpretation of the optical properties of such materials is difficult. Parallel to the need for theoretical studies is the need for experimental studies that will further increase our knowledge and understanding of the mechanism or mechanisms that cause the first order phase transitions in these materials.

#### B. Suggestions for Future Study

In our optical reflectivity studies, we noticed that there were no sharp structures in the optical spectra. Electroreflectance and electro-absorption in crystals and films of  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  might give us a better determination of the energy locations of the structures in the spectra.

Our measurements on the  $(\text{V}_{0.982}\text{Cr}_{0.018})_2\text{O}_3$  in its paramagnetic insulating state indicated the optical properties of the state are similar to those of the metallic state of  $\text{V}_2\text{O}_3$  in the visible and ultraviolet regions. Though we have not measured the optical properties of the metallic state of this doped crystal, we would expect that its optical properties should also be similar to those of the metallic state of  $\text{V}_2\text{O}_3$ . If the optical properties of the metallic and insulating states of this doped crystal are similar in the visible and ultraviolet regions, then the band structures of these two states on both sides of the prescribed Mott transition should be similar, which is consistent with the Mott theory. A Hall effect measurement on these two states would be very revealing. Let us assume that the metallic conductivity of this doped crystal is due to band overlap such that we have both electrons and holes at the Fermi level.

If the band structure does not change at the transition, and if the value of mobility of the electrons changes by about the same percentage as that of the mobility of the holes across the transition, then the Hall constant should remain the same across a Mott transition. The change in the Hall mobility will then be reflected in the change in electrical conductivity. The above argument rests on the fact that in a Mott transition, the charge carriers are itinerant in the metallic state and localized in the insulating state. Therefore, at the phase transition, the number of charge carriers should not change, but there will be a change of mobility, causing a change in electrical conductivity. Hence, if the Hall effect measurement shows a constant Hall coefficient across the transition, this will indicate the transition is consistent with the Mott mechanism. If, however, there is a change in Hall constant across the transition, then either of the following situations may have occurred; 1) the value of the mobility of the electrons changes by a different percentage from that of the mobility of the holes — the number of the respective charge carriers remains constant. In this case, the transition may still be a Mott transition, or 2) there is a change in the number of charge carriers at the transition and the phase transition is not a Mott transition. Though this Hall effect measurement is important, normally it is difficult to measure the change of mobility across the transition because of crystal cracking. However, we have a unique opportunity in the chromium doped crystals to measure the Hall mobility of the crystals in the insulating state at room temperature, since at a properly selected doping

level, e.g., for  $x = 0.018$ , the crystal as grown is not cracked. A comparison of the value of the Hall mobility at room temperature of such a crystal with that of the Hall mobility at room temperature of  $V_2O_3$ , which should be very similar to that of the metallic state of such a crystal, but which as grown is not cracked at room temperature, should indicate whether there is a change in the Hall constant across the transition.

It has been suggested that the phase transition in  $VO_2$  could be due to phonon softening in the crystal as it goes from its insulating to its metallic state (1, 2, 3). Velocity of sound, inelastic neutron diffraction and Raman scattering measurements on  $VO_2$  might provide us with very useful information about the suggested effects. In fact Raman scattering studies on  $VO_2$  have been done which show changes in the Raman modes across the phase transition (15), but these results are hard to interpret and further experiments need to be done. Similarly, Raman scattering, neutron scattering and velocity of sound experiments should be done on  $V_2O_3$  and  $(V_{1-x}Cr_x)_2O_3$  as phonon softening effects at the phase transitions in these materials could be very important.

We have discussed earlier that the metallic and insulating phases coexist for some chromium doping concentrations in the  $(V_{1-x}Cr_x)_2C_3$  system. The coexistence of the two phases could be due to fluctuations of local chromium concentrations with separate regions of large and small chromium concentrations in such a crystal. X-ray small angle scattering experiments may be very useful in determining the concentration and sizes of the separate regions, provided that the sizes of the separate regions are less than about 100 Å.<sup>\*</sup>

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\* Small angle scattering experiments can only pick up fluctuations of sizes less than about 100 Å.

There is another experiment that should be done to examine further the nature of the postulated Mott transition in  $(V_{1-x}Cr_x)_2O_3$  systems. As we have demonstrated in Chapter IV, crystals of  $(V_{0.99}Cr_{0.01})_2O_3$  and  $(V_{0.986}Cr_{0.014})_2O_3$  at room temperature are in their paramagnetic insulating state. When the temperature is raised above the room temperature, the reflectivity has been found to decrease slowly with increasing temperature. When the temperature is lowered from room temperature, the crystals undergo a phase transition from the insulating state to the metallic state at  $280^{\circ}\text{K}$  (for  $(V_{0.99}Cr_{0.01})_2O_3$ ) and  $232^{\circ}\text{K}$  (for  $(V_{0.986}Cr_{0.014})_2O_3$ ), with abrupt increases in reflectivity at 0.65 eV of about 7% (see Chapter IV). We are, therefore, presented with a unique opportunity to examine whether this particular transition is a thermal or an electronic one. Suppose at room temperature, an infrared laser, with photon energy at say  $\sim 0.65\text{ eV}$ , is incident on a crystal of chromium concentration  $x \approx 0.010$ , charge carriers would be excited in such a crystal, and if the insulating state at room temperature is indeed a Mott insulator, the newly generated carriers would start reducing the Coulomb attraction in the excitons, where the holes and electrons are bound together by the Coulomb interaction, until at a certain laser power (that is, at a certain carrier concentration), the excitons would break up and the insulator become metallic. The optical reflectivity should increase abruptly at the threshold laser power. \*

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\* N. B. The optical reflectivity can be monitored by another infrared laser or actually by the same laser that is used to excite the carriers.

The particular advantage of this system is that the heating effects of the laser could only cause the reflectivity to decrease. And a sudden increase in reflectivity of such a crystal with increasing laser power (as long as the surface of the crystal does not melt) cannot be due to thermal effects and necessarily has to be of an electronic nature. In contrast, in  $\text{VO}_2$ , an induced transition by laser power would not distinguish whether the transition is thermal or electronic in nature.\* If we can indeed induce such an electronic transition in the abovementioned chromium doped crystal, we would be able to disprove all the theories that rely on thermal effects to explain the phase transition. It would still, however, be inadequate in proving that the transition is definitely a Mott transition, as other mechanisms such as the one suggested by Adler and Brooks (17), could have the same effect. Nevertheless, an electronic transition can have important device implications: the switching time of such a transition would be much faster than that of a thermal transition.

We have discussed in Chapter I that a Mott transition does not depend on crystal symmetry and thus may presumably occur in amorphous films. If any of the phase transitions in  $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$  and  $(\text{V}_{1-x}\text{Cr}_x)_2\text{O}_3$  are Mott transitions, then the amorphous films of such a material could still show the phase transition. Such an experiment has been done on amorphous films of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$  by Kennedy and Mackenzie (18) who found that the phase transitions of  $\text{VO}_2$  and  $\text{V}_2\text{O}_3$  were absent in the

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\*Such an experiment has been done on  $\text{VO}_2$  and the phase transition induced by laser power (15).

amorphous films of these materials. Their experiments, however, were not very definitive, and further detailed studies must be done. In fact, there is yet another important experiment. Our experiments on sputtered  $V_2O_3$  films showed that the films as grown did not exhibit the low temperature phase transition. After annealing, the phase transition occurred. Though this effect could be due to slight chemical changes that might occur during annealing, the possibility of effects of grain sizes on the nature of these phase transitions cannot be ignored. In fact, an interesting experiment would be to investigate just how the phase transitions in  $VO_2$ ,  $V_2O_3$ , and  $(V_{1-x}Cr_x)_2O_3$  are influenced by the grain sizes; such an experiment might reveal much information about the details of the mechanism or mechanisms of the phase transition.

Since Morin (19) focussed attention on the first order phase transition in crystals of  $VO_2$  and  $V_2O_3$ , much intensive effort has been devoted, both experimentally and theoretically, to the understanding of these materials. We believe that the present work has contributed to the firm establishment of some of the optical parameters of these materials, and has also suggested useful approaches to a final resolution of the interesting problems involved.

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```
0001      IMPLICIT COMPLEX*16(F-G)
0002      DIMENSION U(300)
0003      DIMENSION E(300),R(300),THI(21),P(50),Y1(300),THA(300),
1          DN(300),OK(300),ALF(300),W(300),TRANS(300),
2          ED(300),ET(300)
0004      TH=5.5E-1
0005      ALF(1)=0.0
0006      L1=37
0007      L2=49
0008      EC(1)=0.0
0009      ET(1)=0.0
0010      CK(1)=0.0
0011      ON(1)=0.0
0012      TFANS(1)=0.0
0013      READ(5,J) C1
0014      1  FCRMA(E10.5)
0015      READ(5,2) E(1),R(1)
0016      2  FCRMA(2E10.5)
0017      DO 3 I=2,5C1
0018      READ(5,5) E(I), R(I)
0019      5  FCRMA(2E10.5)
0020      II=I-1
0021      IF (E(I) .EQ. 1.0) E(I)=1.23546/E(I)
0022      IF (D1 .EQ. -1.0) GC TO 7
0023      3  CONTINUE
0024      PMAX=R(I1)
0025      EMAX=E(I1)
0026      E(I)=C*0
0027      I2=II-1
0028      DO 9 I=1,21
0029      READ(5,8) THI(I)
0030      8  FCRMA(E10.5)
0031      IF (THI(I) .EQ. -1.0) GC TO 10
0032      9  CCNTINUE
0033      I0 P(I)=1.0
0034      DC 2CC I=2,40
0035      200 P(I)=P(I-1)+0.1
0036      PMAX=P(40)
0037      I4=1
0038      I3=0
0039      13  IF (P(I3) .EQ. PMAX) GC TO 45
0040      I3=I3+1
0041      WRITE(6,15) P(I3)
0042      15  FCRMA(1H,5H P = + 1PE15.4//)
0043      WRITE(6,16)
0044      16  FCRMA(1H ,1H WAVELENGTH,2X,6HENERGY,1X,12HREFLECTIVITY,
1          4X,5HALPHA+6X,1HN,8X,1HK,8X,5HTHETA,8X,1HT,
2          10X,2HED,8X,2HET,//)
0045      DC 42 J=2,50C
0046      DC 21 I=1,500
0047      IF (E(I) .EQ. E(J)) -ALCG(R(I)) / (E(J)**2-E(I)**2)
0048      Y1(I)=(ALCG(R(I))-ALCG(R(J)))/(E(J)**2-E(I)**2)
0049      GO TO 19
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005C      17 Y1(I)=0.5*((ALOG(R(I-1))-ALOG(R(I)))/(E(J)**2-E(I-1)**2)
          1 + (ALOG(R(I+1))-ALOG(R(I)))/(E(J)**2-E(I+1)**2))
0051      18 IF ((I .EQ. I1) GO TO 23
0052      21 CCNTINUE
0053      23 DC 25 I=1,500
          Y1(I)=(Y1(I)+Y1(I+1))*(E(I+1)-E(I))*0.5
0054      25 IF ((I .EQ. I2) GO TO 27
          CCNTINUE
0055      27 THA(J)=0
          Y1(J-1)=Z1*(E(J)-E(J-1))
          Y1(J)=Z1*(E(J+1)-E(J))
0056      28 DC 29 I=1,500
          THA(J)=THA(J)+Y1(I)*E(I)/3.14159
0057      29 IF ((I .EQ. I2) GO TO 31
          CCNTINUE
0058      31 Y=ABS(EMAX-E(J))
          THA(J)=THA(J)+(1.0/6.2832)*ALCG(R(IJ)/RMAX)* ALOG((EMAX+E(J))/Y)
0059      32 DC 33 I=1,50
          Z=Z+1.0
0060      33 THA(J)=THA(J)+(P(13)*((2.0*Z-1.0)*(-2)*(E(J)/EMAX)**(2*I-1))/3.14159
          CCNTINUE
0061      34 CN(J)=(1.0-R(J))/(1.0+R(J))-2.0*SQRT(R(J))*COS(THA(J))
0062      35 OK(J)=(2.0*SQRT(R(J))*SIN(THA(J))/(1.0+R(J))-2.0*SQRT(R(J))*COS(THA(J)))
0063      36 IF ((J .EQ. I2) GO TO 43
          CCNTINUE
0064      37 IF ((C.95*THI(1)).LE.ON(L1).AND.ON(L1).LE.(1.05*THI(1))) GO TO
          147
0065      38 GO TO 14
0066      39 IF ((0.95*THI(2)).LE.OK(L1).AND.OK(L1).LE.(1.05*THI(2))) GO TO
          148
0067      40 GO TO 14
0068      41 IF ((C.95*THI(3)).LE.ON(L2).AND.ON(L2).LE.(1.05*THI(3))) GO TO
          149
0069      42 CCNTINUE
0070      43 IF ((C.95*THI(4)).LE.OK(L2).AND.OK(L2).LE.(1.05*THI(4))) GO TO
          144
0071      44 GO TO 14
0072      45 DC 46 J=2,500
          W(J)=1.23546/E(J)
0073      46 ALF(J)=4.0*3.14159*OK(J)/W(J)
          U(J)=ATAN(2.0*OK(J)/((COK(J)*ON(J))+OK(J)*OK(J))-1.0)
0074      47 TRANS(J)=((1.0-R(J)**2)+(4.0*R(J)*SIN(U(J))*SIN(U(J))))*EXP((-1
          *ALF(J)*TH)/(1.0-R(J)*R(J))*EXP(-2.0*ALF(J)*TH)
          EC(J)=ON(J)**2-OK(J)**2
          ET(J)=2*CN(J)*OK(J)
0075      48 I=I+1
          WRITE(6,35) W(J), E(J), R(J), ALF(J), ON(J), OK(J), THA(J),
          1 TRANS(J), EC(J), ET(J)
0076      49 IF ((C.95*THI(4)).LE.OK(L2).AND.OK(L2).LE.(1.05*THI(4))) GO TO
          144
0077      50 GO TO 14
0078      51 IF ((0.95*THI(2)).LE.OK(L1).AND.OK(L1).LE.(1.05*THI(2))) GO TO
          148
0079      52 GO TO 14
0080      53 IF ((C.95*THI(3)).LE.ON(L2).AND.ON(L2).LE.(1.05*THI(3))) GO TO
          149
0081      54 GO TO 14
0082      55 IF ((C.95*THI(4)).LE.OK(L2).AND.OK(L2).LE.(1.05*THI(4))) GO TO
          144
0083      56 GO TO 14
0084      57 DC 46 J=2,500
          W(J)=1.23546/E(J)
0085      58 ALF(J)=4.0*3.14159*OK(J)/W(J)
          U(J)=ATAN(2.0*OK(J)/((COK(J)*ON(J))+OK(J)*OK(J))-1.0)
0086      59 TRANS(J)=((1.0-R(J)**2)+(4.0*R(J)*SIN(U(J))*SIN(U(J))))*EXP((-1
          *ALF(J)*TH)/(1.0-R(J)*R(J))*EXP(-2.0*ALF(J)*TH)
          EC(J)=ON(J)**2-OK(J)**2
          ET(J)=2*CN(J)*OK(J)
0087      60 I=I+1
          WRITE(6,35) W(J), E(J), R(J), ALF(J), ON(J), OK(J), THA(J),
          1 TRANS(J), EC(J), ET(J)
0088      61 FORMAT(1H ,1P10E10.2)
0089      62
0090      63
0091      64
0092      65
0093      66

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```
0094      IF (J.EQ.12) GO TO 52
0095      46 CCNTINUE
0096      52 CALL PRPLT(E,R,J)
0097      CALL PRPLT(E,ON,J)
0098      CALL PRPLT(E,CK,J)
0099      CALL PRPLT(E,ED,J)
0100      CALL PRPLT(E,ET,J)
0101      CALL PRPLT(E,TRANS,J)
0102      IF (I4.EQ.4) GO TO 45
0103      GC TO 14
0104      45 CALL EXIT
0105      END
```

```

0001      SUBCUTINE PRPLT(X,Y,M)
0002      DIMENSION X(501), Y(501), YN(10), XN(10), LINE(101), ORD(6)
0003      REAL LINE
0004      DATA BLANK,'XXX',FLUS,CCT,DASH/1H , 1H, 1H+, 1H., 1H-/,
0005      DATA MCNT/0/
0006      MCNT=MCNT+1
0007      IF (MCNT.EQ.8) MCNT=1
0008      YMIN=C.O
0009      YMAM=Y(1)
0010      XSTEP=X(2)-X(1)
0011      DC 2 I=2,M
0012      IF (Y(I) .GT. YMAM) YMAM=Y(I)
0013      IF (Y(I) .LT. YMIN) YMIN=Y(I)
0014      DELX=X(I)-X(I-1)
0015      IF (DELX .LT. XSTEP) XSTEP=DELX
0016      CCNTINUE
0017      WRITE(16,106) MCNT
0018      WRITE(6,108) X(I), X(M), YMIN, YMAM
0019      4   YSCL=(YM-X-YMIN)/100.
0020      NLZ=ABS(YMIN)/YSCL+1.0
0021      IF (NLZ .EQ. 1) YMIN=0.0
0022      12 ORD(I)=YMIN
0023      DO 14 I=2,6
0024      A=I-1
0025      ORD(I)=YMIN+A*YSCL*20.0
0026      WRITE(6,10C)
0027      WRITE(6,101) ORD
0028      N=0
0029      DC 30 J=1,10
0030      N=N+1
0031      LINE(N)=PLUS
0032      DC 30 I=1,9
0033      N=N+1
0034      LINE(N)=DCT
0035      LINE(101)=PLUS
0036      NYV=ABS(Y(1)-YMIN)/YSCL+1.0
0037      LINE(NYV)=XXX
0038      WRITE(6,102) X(I), LINE
0039      DO 36 I=1,101
0040      LINE(I)=BLANK
0041      LINE(NLZ)=DASH
0042      LINE(1)=DCT
0043      K=0
0044      NYV=1
0045      DC 40 I=2,M
0046      NLN=(X(I)-X(I-1))/XSTEP+0.5
0047      IF (NLN .LE. 1) GO TO 45
0048      NLN=NLN-1
0049      DC 42 J=1,NLN
0050      K=K+1
0051      IF (K .LT. 5) GO TO 41
0052      FAC=I+J
0053      XX=X(I)+FAC*XSTEP

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PRPLT

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0054      K=0
0055      WRITE (6,1C4) XX
0056      GC TO 42
0057      41 WRITE(6,1C2)
0058      42 CCNTINUE
0059      45 K=K+1
0060      LINE(NYV)=BLANK
0061      LINE(NLZ)=DASH
0062      LINE(1)=DCT
0063      NYV=ABS(Y(1)-YMIN)/YSCL+i.0
0064      LINE(NYV)=XXX
0065      IF (K .LT. 5) GO TO 46
0066      K=0
0067      IF (NYV .NE. 1) LINE(1)=PLUS
0068      WRITE(6,1C3) X(1), LINE
0069      GC TO 40
0070      46 WRITE(6,105) LINE
0071      40 CCNTINUE
0072      RETURN
0073      100 FORMAT(1H1,18X,'PLOT 1--R/ PLOT 2--ALPHA/ PLOT3--N/ PLOT 4--K/ '
0074      101      'PLOT 5--ED/ PLOT6--ET/ PLOT 7--TRANS')
0075      102 FORMAT(1H ,20X,1H.)
0076      103 FORMAT(1H ,8X,E10.3,2X,101A1)
0077      104 FORMAT(1H ,8X,E10.3,2X,1H+)
0078      105 FORMAT(1H ,20X,101A1)
0079      106 FORMAT(1H1,20(/ *1H0,54X,'PLCT NO.'13/,/
0080      108 FORMAT(1H ,20X,*DATA CN VARIABLES.* /,1H0,25X,*XMIN = ',E15.8,/,
0081      1H ,25X,*XMAX = ',E15.8, /1H0,25X,*YMIN = ',E15.8, /,1H ,
0082      2      25X,*YMAX = ',E15.8)
END

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C THIS IS THE MAIN PROGRAM FOR PROVIDING THE NECESSARY DATA OF THE  
C PARAMETER COMPLEX\*16(X-Z)

0001 IMPLICIT COMPLEX\*16(X-Z)  
0002 EXTERNAL ORDER,CNTROD,SCHCK, SUBNAM  
0003 DIMENSION W(130),WW(130),U(130),UU(130),VV(130),V(130)  
0004 DIMENSION ALF(130)  
0005 DIMENSION ED(130),ET(130)  
0006 DIMENSION DLTGX(33,34),S(36),DCVX(33,36)  
0007 COMMON U,U,V,V,W,WW,ED,ET,ALF  
0008 4 FORMAT(F16.8)  
0009 5 FORMAT(2E10.5)  
0010 101 FORMAT(10I5)  
0011 102 FORMAT(9E8.2)  
0012 103 FORMAT(1/16H EVALUATION NO =15/)  
0013 104 FORMAT(7E13.6)  
0014 105 FORMAT(7E10.4)  
0015 106 FORMAT(2X,6HENERGY,5X,5HEXP R/)  
0016 107 FORMAT(12WX,E18.9,5X,E18.9,5X,E18.9)  
0017 108 FORMAT(9F7.3)  
0018 109 FORMAT(15F5.2)  
0019 110 FORMAT(1/17HCONTROL VARIABLES /)  
0020 304 FORMAT(17X,SHENERGY,11X,5HEXP R,15X,6HTHEO R,14X,2HEO,18X,  
12HET,18X,3HALF/)  
0021 305 FORMAT(10X,E12.3,5X,E15.6,5X,E15.6,5X,E15.6,5X,E15.6)  
0022 READ(5,101) NDIM,MAXNO,NDATA  
0023 READ(5,105) ERROR,SUPLIM  
0024 DO 300 I=1,NDIM  
0025 DC 301 J=1,NDIM  
0026 DLTGX(I,J)=0.0  
0027 300 CONTINUE  
0028 I=1  
0029 J=1  
0030 302 READ(5,5) DLTGX(I,J)  
0031 I=I+1  
0032 J=J+1  
0033 IF(I-NDIM) 302,302,303  
0034 303 IY=1  
0035 DO 200 I=1,NDATA  
0036 READ(5,5) W(I),U(I)  
0037 200 CONTINUE  
0038 WRITE(6,106)  
0039 DO 201 I=1,NDATA  
0040 WRITE(6,5) W(I),U(I)  
0041 201 CONTINUE  
0042 DO 111 I=1,NDIM  
0043 READ(5,109) DCVX(I,1)  
0044 111 CONTINUE  
0045 WRITE(6,110)  
0046 WRITE(6,101) NDIM,MAXNC,NDATA  
0047 WRITE(6,104) ERROR,SUPLIM  
0048 WRITE(6,102) (DCVX(I,J),I=1,NDIM)  
0049 DO 203 J=1,NDIM  
0050 WRITE(6,102) (DLTX(I,J),I=1,NDIM)

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0051	203	CONTINUE		23/30/39
0052		CALL JCFAN(NDIM, MAXNC, NDATA, ERROR, SUPLIN, DLTJX, DCVX, S, KK)		
0053		WRITE(6,102) S(NDIM+2), DCVX(I,NDIM+2), I=1,NDIM)		
0054		NDIMM=NDIM+1		
0055		WRTF(6,102) ((DCVX(I,J), I=1,NDIM), J=1,NDIMM)		
0056		WRITE(6,102) (S(I), I=1,NDIMM)		
0057		WRITE(6,103) KK		
0058		WRTF(6,304)		
0059		DO 33 I=1,NDATA		
0060		33 WRITE(6,305) W(I), U(I), UU(I), EQ(I), ET(I), ALF(I)		
0061		IY=IY+1		
0062		IF (IY-2) 22,43,43		
0063	43	STOP		
0064		END		

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JCFAN

```
0001      SUBROUTINE JCFAN(NDIM,MAXNO,NDATA,ERROR,SUPLIM,DLTVX,DCVX,S,KK)
0002      IMPLICIT COMPLEX*16(X-Z)
0003      DIMENSION WI(130),UU(130),U(130),V(130),VW(130)
0004      DIMENSION DLTvx(33*34),S(36),DCVX(33*36)
0005      DIMENSION C(34),CNTRCX(33)
0006      DIMENSION ALF(130)
0007      DIMENSION EO(130),ET(130)
0008      COMMON U,UU,V,UV,W,WV,ED,ET,ALF
0009      1111 FORMAT(1/16H THIS IS SIMPLEX/)
0010      1113 FORMAT(1/16H ***WARNING****)
0011      1114 FORMAT(50H INADEQUATE GIVEN MAX. NO FOR FUNCTION EVALUATION.)
0012      1115 FORMAT(47H INCREASING THE MAXNO OR CHANGING THE STEP SIZE/
0013      C THIS IS THE SIMPLEX.
0014      C JMCHEN=1
0015      KCHE=N=2
0016      ALPHD=1.0
0017      BETA=0.5
0018      GAMMA=2.0
0019      C WRITE(6,111)
          GO TO 1
```

C NO STATEMENTS FROM NOW ON CAN BE REMOVED EXCEPT YOU ARE CERTAINLY SURE  
C WHAT TO DO.

C SET UP THE INITIAL PATTERN

C 1) EVALUATION OF THE GIVEN INITIAL POINT

```
0020      1 J=1
0021      KK=1
0022      CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
0023      K=NDIM+JMCHEN
0024      KLT1=K-1
```

C 2) EVALUATION OF THE REMAINING POINTS OF THE INITIAL PATTERN

```
0025      DO 3 J=2,K
0026      DO 2 I=1,NDIM
0027      2 DCVX(I+J)=DCVX(I+1)+DLTVX(I+J-1)
0028      CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
0029      3 CONTINUE
0030      4 M=K
          ALPHA=ALPHD
0031      C
```

C ORDERING THE FUNCTION VALUES OF THE PATTERN

```
0032      C CALL CRDER(M,NDIM,S,DCVX)
0033      C DEFINING THE CENTROID TO OBTAIN THE FURTHER SEARCH
0034      C DO 5 I=1,KLT1
          5 C(I)=1.
```

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```

0035      C      CALL CNTROD(NDIM,KLT1,C,CNTRDX,DCVX)
          C      REFLECTING OPERATION

          0036      6 DO 7 I=1,NDIM
          7 DCVX(I,K+1)=CNTRDX(I)+ALPHA*(CNTRDX(I)-DCVX(I,K))
          0037      J=K+1
          0038      CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
          0039      IF(KK-MAXNO) 9,9,36
          0040      9 IF(S(K+1)-S(1))10,10,23
          0041      10 DO 11 I=1,NDIM
          0042      11 DCVX(I,K+2)=CNTRDX(I)+GAMMA*(DCVX(I,K+1)-CNTRDX(I))
          0043      J=K+2
          0044      CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
          0045      IF(KK-MAXNO) 13,13,36
          0046      13 IF(S(K+2)-S(1))14,14,21
          0047      14 S(K)=S(K+2)
          0048      15 DCVX(L,K)=DCVX(L,K+2)
          0049      DO 15 L=1,NDIM
          0050      15 DCVX(L,K)=DCVX(L,K+2)
          0051      16 GO TO 35
          0052      21 S(K)=S(K+1)
          0053      20 DO 22 L=1,NDIM
          0054      22 DCVX(L,K)=DCVX(L,K+1)
          0055      20 GO TO 35
          0056      23 IF(S(K+1)-S(K-1))21,21,24
          0057      24 IF(S(K+1)-S(K))25,25,27
          0058      25 S(K)=S(K+1)
          0059      26 DO 26 I=1,NDIM
          0060      26 DCVX(I,K)=DCVX(I,K+1)

          C      CONTRACTING OPERATION

          C      27 DC 28 I=1,NDIM
          0061      28 DCVX(I,K+1)=CNTRDX(I)+BETA*(DCVX(I,K)-CNTRDX(I))
          0062      J=K+1
          0063      CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
          0064      IF(KK-MAXNO)29,29,36
          0065      29 IF(S(K+1)-S(K))30,30,32
          0066      30 S(K)=S(K+1)
          0067      30 DO 31 I=1,NDIM
          0068      31 DCVX(I,K)=DCVX(I,K+1)
          0069      31 GO TO 35
          0070      C      SHRINKING THE PATTERN DUE TO A BAD CONTRACTION

          C      32 DO 34 J=2,K
          0071      32 DO 33 I=1,NDIM
          0072      33 DCVX(I,J)=(DCVX(I,1)+DCVX(I,J))/2.
          0073      33 CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
          0074      34 CONTINUE
          0075      34 IF(KK-MAXNC)35,35,36
          0076      35 CALL SCHECK(K,SUM,NDIM,S)
          0077      35 IF(SUM-EF'ROR)>37.374
          0078      C      THE SEARCH IS INCOMPLETE ACCORDING TO THE GIVEN INADEQUATE MAXNO.

```

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```

C   36 WRITE(6,113)
    WRITE(6,114)
    WRITE(6,115)
    GO TO 40
C   THE SEARCH IS COMPLETED. RETURN TO THE MAIN PROGRAM AFTER EVALUATING
C   THE CNTRD OF THE PATTERN.
0083 37 N=K
      CALL ORDER(M,NDIM,S,DCVX)
0084 38 DO 38 I=1,KLT1
0085      C(I)=1.
0086      CALL CNTRD(NDIM,KLT1,C,CNTRDX,DCVX)
0087      DC 39 I=1,NDIM
0088      DCVXI,I,K+1)=CNTRDX(I)
0089      J=K+1
0090      CALL SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KY)
0091
0092      END
0093
  
```

C THIS SUBROUTINE SUBNAM SHOULD PROVIDED BY USER FOR OBTAINING THE  
 C KCONT...A CONTROL NUMBER SET FOR OUTPUT. FOR EVERY KCONT NO. OF  
 C FUNCTION EVALUATIONS THE COMPUTER WILL WRITE OUT THE DATA  
 C ONCE.

C ER.....A FUNCTION VALUE SET FOR THE DATA TO BE WRITTEN OUT AS THE  
 C COMPUTED FUNCTION VALUE DROPPED A TENTH ORDER EACH TIME.  
 C SOPT....THE BEST FUNCTION VALUE HAS BEEN FOUND AT EACH STAGE OF  
 C COMPUTATION.

C XOPT(I). THE CORRESPONDING ITH DECISION VARIABLE OF SOPT.

```

0001      SUBROUTINE SUBNAM(NDIM,NDATA,J,SUPLIM,S,DCVX,KK)
0002      IMPLICIT COMPLEX*16(X-Z)
0003      DIMENSION S(36),DCVX(33,36),X(33),XOPT(33)
0004      DIMENSION ZCT(130),ZCD(130),W0(130),WT(130),AOPT(130),Z4(130)
0005      DIMENSION Z5(130),Z6(130),ALF(130),TRANS(130),ON(130),OK(130)
0006      DIMENSION Z2(130),Z3(130),ZT(130),ZC(130),ZCO(130),Y(130)
0007      DIMENSION Z8(130)
0008      DIMENSION Z9(130)
0009      DIMENSION Z7(130)
0010      DIMENSION Z10(130)
0011      DIMENSION W(130),WW(130),UU(130),U(130),VV(130),V(130)
0012      DIMENSION WP(130),WR(130)
0013      DIMENSION EO(130),ET(130)
0014      DIMENSION WH(130)
0015      COMMON U,UU,V,VV,W,WW,EC,ET,ALF
0016      1 FORMAT(31H THE OPTIMUM FUNCTION VALUE IS E13.6)
0017      2 FORMAT(6E13.6)
0018      3 FORMAT(10I4)
0019      107 FORMAT(10X,E12.3,5X,E15.6,5Y,E15.6,5X,E15.6,5X,E15.6)
0020      303 FORMAT(17X,6HENERGY,11X,5HEXP R,15X,6HTHEO R,14X,2HEO,18X,
12HET,18X,3HALF/)

          AI=0.90
          AR=1.82
          RI=1.10
          BR=1.77
          II=22
          I2=30
          IF(J-1)4,4,5
          4  KCONT=100
             ERR=10.
             GC TN 6
             5  KK=KK+1
                I=1
                300  IF(DCVX(I,J))-0.0) 16,16,301
                301  I=I+1
                   IF(I-NDIM) 300,300,6

```

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```

0036   6 DC 7 I=1,NDIM
0037     X(I)=DCVX(I,J)
0038   7 CONTINUE
0039     Z1=CMPLX(0.0,1.0)
0040   DO 200 I=1,NDATA
0041     Y(I)=W(I)
0042     Z2(I)=(X(2)*X(2))/(Y(I)*Y(I))+Z1*X(3)*Y(I))
0043     Z3(I)=(X(4)/I)-(Y(I)*Y(I))/(X(5)*X(5))-(Z1*X(6)*Y(I))/X(5))
0044     Z4(I)=(X(7)/(I-(Y(I)*Y(I))/(X(8)*X(8)))-(Z1*X(8)*Y(I))/X(8))
0045     Z5(I)=X(10)/(I-(Y(I)*Y(I))/(X(11)*X(11)))-(Z1*X(12)*Y(I))/X(11))
1)   Z6(I)=X(13)/(I-(Y(I)*Y(I))/(X(14)*X(14)))-(Z1*X(15)*Y(I))/X(14))
1)   Z7(I)=X(16)/(I-(Y(I)*Y(I))/(X(17)*Y(I)))-(Z1*X(18)*Y(I))/X(17))
1)
0047   ZT(I)=X(I)-Z2(I)+Z3(I)+Z4(I)+Z5(I)+Z6(I)+Z7(I)
0048   SUM1=SUM1+(1.0-(U(I)/WW(I)))*(1.0-(U(I)/WW(I)))*1.0
0049   V(I)=REAL(ZT(I))
0050   0C50
0051   V(I)=AIMAG(ZT(I))
0052   ZC(I)=CD(SQR(T(ZT(I)))
0053   WP(I)=AIMAG(ZC(I))
0054   WR(I)=REAL(ZC(I))
0055   ZCO(I)=ZC(I)-(1.0,0.0)
0056   ZCT(I)=ZC(I)+(1.0,0.0)
0057   ZCD(I)=ZCO(I)/ZCT(I)
0058   WO(I)=REAL(ZCD(I))
0059   WT(I)=AIMAG(ZCD(I))
0060   WWW(I)=1.24/W(I)
0061   ALF(I)=4.0*3.14159*WP(I)/WWW(I)
0062   WW(I)=WO(I)*WO(I)+WT(I)*WT(I)
0063   SUM1=0.0
0064   DO 201 I=1,NDATA
0065   SUM1=SUM1+(1.0-(U(I)/WW(I))*(1.0-(U(I)/WW(I)))*4.0*(1.0-(AR/WR(I))
1)*1.0-(AR/WR(I))+(1.0-(AI/WR(I)))*(1.0-(AI/WR(I)))+(1.0-(BR
2/WR(I2)))*(1.0-(BR/WR(I2)))+(1.0-(BI/WR(I2)))*(1.0-(BI/WR(I2)))
201 CONTINUE
0066   T=SUM1
0067
C
C THE USER SHOULD PROVIDE A PART OF THIS SUBROUTINE FOR OBTAINING
C THE REQUIRED FUNCTION VALUE AT EACH VERTEX BETWEEN THIS COMMENT
C STATEMENT AND THE FOLLOWING STATEMENT IN WHICH T MEANS THE RE-
CQUIRED FUNCTION VALUE.
C
C
0068   S(I,J)=T
C   STORAGE OF BETTER FUNCTION VALUE WITH THE CORRESPONDING INDEPEND-
C   ENT AND DEPENDENT VARIABLES, IF NECESSARY.
C
C
0069   IFL(J-1)9,9,11
0070   9 DO 10 I=1,NDIM
0071     AGP(I)=REAL(X(I))
0072   10 CONTINUE
0073     DO 18 I=1,NDATA
0074       U(I)=WW(I)

```

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```
0075      EO(I)=V(I)
0076      ET(I)=VV(I)
0077      SOPT=T
0078      IF(J-1)102,102,12
101     IF(S(I)-S(J))12,9,9
102     IF(KK-5)102,101,101
101     IF(KK-KCONT)14,13,13
103     WRITE(6,1) SOPT
103     WRITE(6,2) (AOPT(I),I=1,NDIM)
0084     WRITE(6,3) KK
0085     WRITE(6,303)
0086     DO 50 I=1,NOATA
50      WRITE(6,107) W(I),U(I),UU(I),EO(I),ET(I),ALF(I)
0088     KCONT=KCONT+100
0089     14 IF (S(J)-FRR) 15,15,17
0090     15 WRITE(6,1) SOPT
0091     WRITE(6,2) (AOPT(I),I=1,NDIM)
EPR=ERR*0.1
0092
0093     GO TO 17
0094     16 SJJ=SUPLY
0095     GC TO 17
0096     102 WRITE(6,1) SCPT
0097     WRITE(6,2) (AOPT(I),I=1,NDIM)
0098     WRITE(6,303)
0099     DO 19 I=1,NOATA
0100     19 WRITE(6,107) W(I),U(I),UU(I),EO(I),ET(I),ALF(I)
0101     WRITE(6,3) KK
0102     17 RETURN
0103     END
```

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C C

C THE SUBROUTINE FOR ORDERING THE FUNCTION VALUES OF THE PATTERN

```
0001      SUBROUTINE ORDER(M,NDIM,S,DCVX)
0002      IMPLICIT COMPLEX*16(X-Z)
0003      DIMENSION W(130),MW(130),U(130),VV(130),V(130)
0004      DIMENSION ALF(130)
0005      DIMENSION ED(130),ET(130)
0006      DIMENSION S(36),DCVX(33,36)
0007      COMMON U,UU,V,VV,W,WW,EQ,ET,ALF
0008      K=M
0009      KLT1=K-1
0010      DO 5 I=1,KLT1
0011      M=M-1
0012      DO 4 J=1,M
0013      IF(S(M+1)-S(J))2,2,4
0014      2 A=S(M+1)
0015      S(M+1)=S(J)
0016      S(J)=A
0017      DO 3 L=1,NDIM
0018      B=DCVX(L,M+1)
0019      DCVX(L,M+1)=DCVX(L,J)
0020      DCVX(L,J)=B
0021      3 CONTINUE
0022      4 CONTINUE
0023      5 CCNTINUE
0024      RETURN
0025      END
```

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-----300-----

C  
C A NECESSARY PART OF THE WHOLE SEARCH DECK BUILT FOR OBTAINING THE  
C CENTROID OF THE PATTERN EXCLUSIVE OF THE WORST POINT.  
C

```
0001      SUBROUTINE CNTROD(NDIM,KLT1,C,CNTRDX,DCVX)
0002          IMPLICIT COMPLEX*16(X-Z)
0003          DIMENSION C(34),CNTRDX(33),DCVX(33-36)
0004          C             SEARCHING FOR THE BETTER POINT OF THE SPACE
0005          DIMENSION W(130),WW(130),UW(130),UU(130),VV(130),V(130)
0006          DIMENSION ED(130),ET(130)
0007          DIMENSION ALF(130)
0008          COMMON U,UU,V,VV,W,WW,ED,ET,ALF
0009          CSUM=0.
0010          DO 1 I=1,KLT1
0011          1 CSUM=CSUM+C(I)
0012          DC 3   I=1,NDIM
0013          AXIS=0.
0014          DO 2 J=1,KLT1
0015          CNTRDX(I)=AXIS+C(J)*DCVX(I,J)
0016          AXIS=CNTRDX(I)
0017          2 CONTINUE
0018          CNTRDX(I)=CNTRDX(I)/CSUM
0019          3 CONTINUE
0020          RETURN
          END
```

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C THE BUILT-IN SUBROUTINE FOR CHECKING WHETHER THE OPTIMUM POINT HAS  
C BEEN ACHIEVED  
C THE CRITERION USED IS SCRT((AVG.(S1-S(J))\*\*2/NDIM),J=1,K) .L.E.  
C ERROR.

0001 SUBROUTINE SCHECK(K,SUM,NDIM,S)  
0002 IMPLICIT COMPLEX\*16(X-Z)  
0003 DIMENSION S(36)  
0004 DIMENSION W(130),WW(130),UU(130),U(130),VV(130),V(130)  
0005 DIMENSION EO(130),FT(130)  
0006 DIMENSION ALF(130)  
0007 COMMON U,UU,V,VV,W,WW,EO,FT,ALF  
0008 SAVG=0.  
0009 DO 1 L=1,K  
0010 1 SAVG=S(L)+SAVG  
0011 AK=K  
0012 SAVG=SAVG/AK  
0013 SUM=0.  
0014 DO 2 L=1,K  
0015 2 SUM=SUM+(S(L)-SAVG)\*(S(L)-SAVG)  
0016 ANDIM=NDIM  
0017 SUM=SUM \*\*0.5/NDIM  
0018 RETURN  
0019 END



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